



Amendment No. 5  
to  
Agreement No. 4700 NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**  
(Ryan White Part A)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Fifty Seven Thousand Six Hundred Forty Five dollars (\$57,645)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063
Amendment No. 2: Exercise Extension Option #1 (March 1, 2018 – Feb. 28, 2019)	\$ 45,014	\$ 103,077
Amendment No. 3: Add funds to Agreement and modify Program Exhibits	\$13,842	\$116,919
Amendment No. 4: Exercise Extension Option #2 (March 1, 2019 – Feb. 29, 2020)	\$ 58,852	\$ 175,771
Amendment No. 5: Exercise Extension Option #3 (March 1, 2020 – Feb. 28, 2021)	\$ 57,645	\$ 233,416

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.1.1 -- Program Work Statement for HIV Contract and Exhibit A.1.2 -- Program Work Statement By Service Category** are deleted in their entirety and replaced with **Exhibit A.1 -- Program Work Statement**. [Revised 3/30/2020]

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with a new **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 3/30/2020]



**Exhibit B.1.1 -- Program Budget for HIV Direct Services, Exhibit B.1.2 -- Program Budget for HIV Administrative Services, and Exhibit B.1.3 -- Program Budget for HIV Combined Services and Narrative** are deleted in their entirety and replaced with **Exhibit B.1 -- Program Budget and Narrative for HIV** [Revised 3/30/2020]

**Exhibit D -- RW Part A Required Reports** is deleted in its entirety and replaced with a new **Exhibit D -- RW Part A Required Reports** [Revised 2/18/2020]

**Exhibit E -- Modifications to the Standard APH Agreement** is renamed **Exhibit G -- Modifications to the Standard APH Agreement**

**Exhibit F -- Business Associate Agreement** is renamed **Exhibit E -- Business Associate Agreement**

**Exhibit G -- Federal Award Identification** is renamed **Exhibit F -- Federal Award Identification** and is deleted in its entirety and replaced with a new **Exhibit F -- Federal Award Identification** [Revised 3/30/2020].

**4.0 The following Terms and Conditions have been MODIFIED:**

4.1.2.1 For the Program Period of 3/1/2020 through 2/28/2021, the payment from the City to the Grantee shall not exceed \$57,645 (*Fifty Seven Thousand Six Hundred Forty Five dollars*).

**5.0** MBE/WBE goals were not established for this Agreement.

**6.0** Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

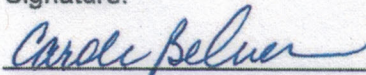
**7.0** By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

**8.0** All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

Signature:



COMMUNITY ACTION, INC. OF CENTRAL TEXAS

Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date: 4/7/2020

**CITY OF AUSTIN**

Signature:



City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 4/20/2020



## Program Work Statement

Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021

### Client Access

Community Action, Inc. (CAI) will accept referrals from local social service agencies, medical providers, health departments, and other HIV case management agencies, or client self-referrals. In order to ensure that other community agencies are aware of the services provided by CAI, case managers will attend HIV service provider meetings and community interagency meetings to provide information on how to refer clients to the agency for services. CAI HIV staff will work with local agencies, such as housing authorities, community clinics, hospitals, and drug treatment centers to provide them with information about the agency and the process to refer a client for HIV case management services. CAI HIV staff will also educate hospitals, local clinics, drug treatment centers, the Gary Job Corps Center, and other social service agencies by speaking to these groups. Information such as how to refer an HIV+ individual to CAI, what documentation will be required, HIV case management services, and the CAI service area will be provided. HIV case management staff will also leave brochures for each of the agencies to display.

Referrals will be accepted to help individuals from the following communities: Bastrop, Blanco, Burnet, Caldwell, Fayette, Hays, Lee, Llano and Williamson.

### Service Linkage, Referral, and Collaboration Access

The linkage of HIV positive individuals in the rural area to medical care is the primary objective of CAI's HIV program: The Rural AIDS Services Program (RASP). When a client initially contacts the agency, a brief assessment will be conducted over the telephone. If the client is not in medical care, the client will be referred to the most appropriate clinic or primary medical care provider. In most cases, this provider will be the David Powell Clinic (DPC). The case manager will assist the client in completing the DPC intake and submit the intake to DPC. This allows the client to complete the DPC intake at the same time of the case management intake allowing for the client to be able to be seen for a lab appointment at DPC instead of having to wait for an appointment with a DPC social worker to complete their intake process.

Since most RASP clients live in the rural area and do not have access to reliable transportation, CAI will coordinate transportation to and from medical appointments to ensure the client is retained in medical care.

For outside resources, the case manager develops working relationships with other social service providers. The case manager will continue to routinely work with three HIV clinics which include DPC, Red River Family Practice and the Blackstock Family Clinic. RASP case managers also have working relationships with several case management agencies, health and human service providers, pharmacies, landlords, and local utility providers. These relationships are stable and change little from year-to-year. By having these continued working relationships, case managers can coordinate services and reduce duplication of services between agencies. Case managers, with their client's authorization, can obtain verification or services from other Ryan White funded sub-recipients using the ARIES database.

All referrals will be entered in ARIES and will be followed up within five working days of the service being provided. Case managers will also document whether clients successfully followed through on their referrals by using the ARIES database. A copy of the referral from ARIES will be printed and placed in the client's case management file.

### Client Input and Involvement

All clients will actively participate in their case management care plans and work with their case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality medical care. All active clients will have the opportunity to provide their input into the process of continued improvement using the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and are asked to return it in a pre-addressed, postage paid envelope. Survey results are compiled by the Data Manager and shared with the staff and the CAI Quality Management team to develop any necessary action plans to address clients concerns. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The client suggestion box is checked frequently, and concerns are addressed during staff meetings to develop corrective action plans.

### Cultural Competency

Service activities will be delivered so that cultural and language differences do not constitute a barrier to services in full



## Program Work Statement

Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021

compliance with the National Standards on Culturally and Linguistically Appropriate Services (CLAS). CAI is in compliance with the CLAS Standards as listed below.

Standard 1: \*Staff members are proficient in Spanish, culturally reflective of the Hispanic clients and available to interpret on a daily basis (Five out of the eight HIV staff are bilingual). \*Staff members are from diverse backgrounds. \*Interpretation services in any language are offered to clients free of charge. \*Client materials are written at a 5th grade literacy level. \*Client materials are provided in English and Spanish (as available).

Standard 2: \*Compliance with Equal Employment Opportunity Commission (EEOC) guidelines. \*Compliance with the American's with Disabilities Act (ADA). \*EEOC and ADA language reflected on all job postings. \*Staff are fluent in Spanish, culturally reflective of the Hispanic clients and available to interpret on a daily basis. \*Committed to promoting from within for job postings. \*Candidates for positions where bi-lingual skills are preferred, such as Spanish, are offered a salary premium for demonstrating appropriate proficiency in the language. \*Board members are demographically and culturally diverse.

Standard 3: \*Annual training for staff related to cultural appropriateness.

Standard 4: \*Staff are proficient in Spanish, culturally reflective of the Hispanic clients, and available to interpret on a daily basis. \*Staff are from diverse backgrounds including Hispanic and African American. \*Interpretation services are available in any language and offered to clients free of charge. \*Client materials are written at a 5th grade literacy level. \*Client materials are provided in English and Spanish (as available). \*The bilingual case manager records their voice mail message in Spanish and English.

Standard 5: \*Interpretation policy offering services free of charge posted at each case management office. \*Interpretation services are available in any language and offered to clients free of charge. \*Staff trained to notify clients of their right to receive language assistance services free of charge. \*The bilingual case manager records their voice mail message in Spanish and English.

Standard 6: \*Written policy offers interpretation services at no cost to the client in order to prevent the use of family and friends as interpreters. \*Staff trained to notify clients of their right to receive language assistance services free of charge. \*Staff trained to notify clients that family and friends are not a preferred source for interpretation in order to protect client confidentiality.

Standard 7: \*Client materials are provided in Spanish and English. \*Client materials are written at a 5th grade literacy level.

Standard 8: \*CAI (agency) strategic plan.

Standard 9: \*Annual training for staff related to cultural appropriateness.

Standard 10: \*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level. \*This data entered onto the client's paper file and into the ARIES data base. \*This data is updated periodically.

Standard 11: \*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level. \*This data entered onto the client's paper file and into the ARIES data base. \*This data is updated periodically. \*Use of the Austin Transitional Grant Area (TGA) HIV Planning Council's annual client needs assessment. \*Use of the Brazos Valley Council of Government's (BVCOG) periodic client needs assessment.

Standard 12: \*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level. \*This data entered onto the client's paper file and into the ARIES data base. \*This data is updated periodically.

Standard 13: \*Client materials are provided in English and Spanish. \*Client materials are written at a 5th grade literacy level. \*Client grievance procedures are provided to each client. \*CAI has a formal grievance procedure in place.

Standard 14: \*Client needs assessments are provided to board of directors. \*Client success stories are available via social media, agency website, provided to board of directors, and shared with other staff during annual Agency All Staff Day.



**Program Work Statement**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021**HIV Service Category SS-Non-Medical Case Management Services****Client Eligibility**

Clients must be HIV positive to be eligible for services to be provided. Other eligibility documents include proof of residency, proof of income and proof of health insurance (if any). Clients and case managers will also complete the Income Calculation documents. In order to verify a client's insurance, clients must provide a copy of their insurance card (private, Medicare, Medicaid), or sign the agency's Statement of No Insurance form. Clients will be reassessed every six months to determine continued eligibility. The Eligibility Specialist is responsible for meeting with all CAI clients to update eligibility following DSHS's birthday and half birthday guidelines. The Eligibility Specialist will keep track of all due dates for all clients utilizing a spreadsheet. She will mail clients an initial notification reminder a month before their due date. The letter notifies the client of the type of eligibility needed to be completed, what documents are required, and instructs the client to call to schedule an appointment to complete the reassessment. If the client has not reached out to the Eligibility Specialist two weeks prior to the deadline, the Eligibility Specialist will call the client to schedule an appointment. If the client has not reached out to the Eligibility Specialist one week prior to the deadline, their case manager will be notified to help assist. All efforts will be made to ensure that eligibility is completed before the deadline in order to ensure the client does not have a lapse in services. All eligibility documents can be found in the client's case management file, under the tab labeled, Eligibility Documents.

**Target Population**

Case management services are open to all persons living with HIV/AIDS who meet the eligibility requirements shown under Client Eligibility.

**Service activities linked to Budget Justification**

All HIV positive individuals with an identified need for case management services who reside within the Community Action, Inc. nine county service area are eligible for case management services regardless of income level.

When an individual requests services provided by Community Action, Inc. (CAI), all new clients and returning clients who have been discharged for more than three months must have an initial screening to determine eligibility. Clients are screened by the case manager in their service area.

If it is determined that a client is eligible for services provided by the agency, the case manager will schedule a face to face intake within 7 business days of the initial contact with the individual. Case managers will inform potential clients of the required documents needed at the time of the intake. Case managers will follow the Standards of Care for specific eligibility requirements needed to receive services, such as proof of diagnosis, income, insurance, and residency. The purpose of the initial intake is to develop trust and rapport between the client and case manager while further determining the immediate needs of the client in order to connect the client to the appropriate resources. The original client intake will be maintained in each client file.

An initial comprehensive assessment is required for all clients who are enrolled in case management services. Most often this assessment can be done at the time of intake but must be completed no later than 30 days of intake. This assessment is done face to face with the client. This information is documented on the agency's assessment forms and in a detailed case note in ARIES.

Comprehensive reassessments are required for all clients enrolled in case management services and provide an opportunity to review a client's progress, consider successes and barriers and evaluate the previous period of case management activities. In conjunction with updating the care plan, the reassessment is a useful time to determine whether the current level of case management services is appropriate, or if the client should be offered alternatives.

For clients receiving non-medical case management services, the comprehensive reassessment is required at either 45, 60, or 90-day intervals, depending on the client's acuity score, and then again annually. This reassessment could be completed sooner if the client's circumstances change significantly.

All reassessments include at a minimum updated personal information such as current contact and identify information, emergency contact information, confidentiality concerns, household members, and current proof of income, insurance, and residency (to ensure no changes from what is on file). Follow up on previous care plan to ensure all tasks and goals were met. Staff will review the client's current situation and identified needs, such as current health status, health-related needs, client's status and any other needs related to support services. In addition, staff will evaluate the client's strengths and



## Program Work Statement

Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021

### HIV Service Category SS-Non-Medical Case Management Services

weaknesses and review other services that the client is receiving. All information will be documented in the client's case notes.

Case Managers will accept referrals from various sources including, but not limited to, hospitals, clinics, dental providers, social service agencies, case managers, health departments, and self-referrals. When clients are referred by a medical provider (medical or dental) case managers will ensure that the client's medical needs are address and appropriate referrals are given.

Case Managers will follow up with clients who report being hospitalized or utilize emergency room care. At this time, case managers assess the client's needs in order to complete a needs assessment, and will discuss with the client the importance of following their medical treatment plan. Case managers will also continue to follow up with the client to prevent poor outcomes.

As needed, case managers will be available to discuss with other providers regarding their client's health or social support needs. Case managers will ensure that they have obtained the appropriate releases on information prior to any discussions (case conference). Case managers will document information discussed in an ARIES case note.

The referral procedure outlines the details for the referral and follow-up process. The ARIES Guide outlines the documentation requirements and timelines for entering information into ARIES.

Case Managers follow-up with all referrals within five business days following the delivery of the service to ensure the client followed through with attending the appointment. Clients who are dissatisfied with any services they received from agencies outside of Community Action, Inc. will be encouraged to review the specific agencies grievance procedure and supported in their decision to pursue a grievance or not to pursue a grievance. Concerns raised by clients who are unwilling to address the issue with specific service providers will be brought to the attention of the CCMS. If requested, case managers will work with clients to find an agency that is more suitable.

Case Managers distribute copies of forms and education materials to clients during office visits at least every six months. Staff are expected to put any materials that have HIV/AIDS written on it into a plain envelope for clients. Staff will also provide education as needed during care plan updates. This information can include, but not limited to: medication adherence, HIV disease process, risk reduction, oral health.

### Frequency of these service activities

These activities are conducted by the non-medical case manager based on client acuity. Client acuity level is assessed within 30 calendar days of the initial intake and every 45, 60, or 90 days thereafter or as life circumstance change. CAI utilizes the DSHS TX Acuity Scale.

Level 0, Case Management Not Indicated (NI): these are low acuity clients who need little or no assistance to meet their needs and do not receive case management. NI clients are contacted by their case manager at least annually to determine if their needs or life circumstance have changed since last assessed. These clients may receive a gas voucher and/or be helped with a medication/insurance co-payment, but they do not need a level of help greater than that provided by an office clerk. Eligibility is updated every six months.

Level 1, Basic Case Management (B): these clients are getting most of the services that they need but are inept or inconsistent in obtaining necessary services without reminders and/or supports. Some "B" clients may need specific linkage information or education regarding basic financial management or other life skills. Others in this group may be living successfully but have one or more prominent needs, such as inadequate housing or medication compliance issues that are not being met at the time of assessment. A client who is receiving this monitoring level of case management must be contacted by the case manager at least every three months.

Level 2, Moderate Case Management (M): these clients have clearly defined needs that require ongoing case management intervention to ensure that they attend medical appointments, comply with medication regimens, have a safe and healthful place to live, proper nutrition, and maintain sobriety. The case manager will contact "M" level clients every two months to ensure that the clients are linked with necessary services and are following prescribe routines (medication and medical visits).

Level 3, Intensive Case Management (I): Clients in this category have crisis level needs that require immediate attention to maintain their life and overall wellbeing in the face of debilitating substance abuse, mental illness, and/or extreme deprivation



## Program Work Statement

Contract Term: 03/01/2017 - 02/28/2021

Program Period: 03/01/2020 - 02/28/2021

### HIV Service Category SS-Non-Medical Case Management Services

regarding daily living. At least monthly or more frequent contacts are required with these "I" case management clients. Their life situation will be subject to radical shifts from one extreme to another, and close monitoring will be necessary until their status returns to a more manageable level.

#### Location(s) of these service activities

These activities can be conducted at the non-medical case manager's office located in San Marcos or if the client is unavailable to come into the office, the non-medical case manager will conduct a home and/or hospital visit.

#### Staffing

Non-Medical Case Manager Requirements: High School Diploma or GED and 1-year minimum experience working with clients or families in a social setting or Bachelor's Degree in Social Work, Counseling, Health, Human or Social Services with no experience. Be able to lift 20 pounds.

Other Requirements:- Documentation of tuberculin free condition- Daily access to transportation- Valid Texas Driver's License—Class C (May be required to obtain a Texas Commercial Driver's License)- Vehicle insurance (Personal injury and liability)- Must be flexible with hours

Patient Navigator Requirements: Minimum requirements for patient navigator:- High school diploma or GED- Prefer six months to 1-year work with target populations Job duties:- Information and referral- Forms & applications (ADAP renewal, SNAP, CHIP, HACA)- Access to Resources (Bus Passes, Gas Vouchers)- Transportation to medical visits- Food pantry delivery- Appointment reminders- Reinforce adherence messages

#### Quality Management

All clients will actively participate in their case management care plans and work with their case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality medical care. Care plans are updated routinely based on the client's acuity level.

All active clients will have the opportunity to provide their input into the process of continued improvement using the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and will be asked to return it in a pre-addressed, postage paid envelope. The Coordinator of Case Management Services will mail out surveys during October, and request that the surveys be returned by the end of December. Survey results are compiled by the CCMS and shared with the staff and the CAI Quality Management team. Data collected will be used to develop any necessary action plans to address clients' concerns. Staff will utilize the PDSA model during this process, and to evaluate the effectiveness of changes made to how services are being provided. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The client suggestion box is checked frequently, and concerns are addressed during staff meetings to develop corrective action plans.

Every CAI employee who provides case management services to clients will be properly trained in case management. An HIV case manager must be able to work with clients and develop supportive relationships to enable clients to make the best choices for their well-being and facilitate access to, and use of, available services. Community Action, Inc. will provide new case managers with job-related training that begins within 15 working days of hire and is completed no later than 90 days following hire.

In addition, the following will apply:- New case managers will receive an initial CAI orientation from Human Resources staff on the first day of employment. This orientation will be scheduled by HR Staff.- Within the first 30 days of employment, the CCMS will complete the RASP New Employee Case Manager Orientation Training Record, which includes information about the program, position overview, general office information, grant providers/funding, and program policy/procedures.- New case managers will specifically receive training on intake, acuity, care plans, and recertification of eligibility every six months, privacy, and security training.- New case managers will be scheduled to work with current case managers in order to complete job shadowing.- Supervisors will accompany new case managers on home visits within the first 60 days of hire.- During the probationary period, new case managers will be monitored for completion of case management tasks such as assessments, care planning, and interventions.- Each new staff who has access to ARIES will be required to take an ARIES 101 training with the BVCOG Data Manager prior to obtaining access to ARIES.- The CCMS will conduct a required evaluation with the new case manager at 90 days of hire and then annually thereafter.



**Program Work Statement**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021**HIV Service Category SS-Non-Medical Case Management Services**

CAI case managers (full-time) are required to complete 40 hours of continuing education each calendar year. Of these 40 hours, a minimum of 12 hours must be in a relevant topic such as HIV confidentiality and the law, cultural competency, working with special populations, family violence, intake/assessment/reassessment, monitoring outcomes, records management, resource development, safety, care planning and implementation, ethics and HIV, Hepatitis A, B, C, screening tools, disclosure, harm reduction, mental health/substance use, HIV mediations, opportunistic infections, STDs, crisis intervention strategies, and annual Privacy/Confidentiality training & signing a new confidentiality statement. Staff will utilize various sources/agencies for providing trainings on the topics listed above. If there is a topic that case managers are interested in, but are unable to find a source, the CCMS will contact BVCOG for assistance. Case managers will submit monthly training logs to the CCMS indicating what trainings they have attended.

Another quality measure includes case notes and client files to be reviewed in order to ensure that clients' needs are being met. Case notes will be reviewed weekly by the CCMS and any corrections will be sent to the appropriate case manager for follow up. Client charts will be reviewed quarterly to ensure all required documents are in place and match what is in ARIES. All corrections will be given to the appropriate case manager who will follow up and complete corrections within 30 days.

**HRSA/HAB Ryan White Part A Program Monitoring Standards**

Each Service Category requires its own Program Performance Measures for HIV Contract form to be completed. Staff will use the most recent approved HIV Services Performance Catalog in developing these measures. Staff will contact HRAU if a current copy is needed.

HRSA/HAB Ryan White Part A Program Monitoring Standards: Provider/Subgrantee Responsibilities:

Maintain client records that include the required elements as detailed by the grantee, including: Date of encounter, Type of encounter, Duration of encounter, Key activities, including benefits/ entitlement counseling and referral services

Response: Community Action, Inc. has updated its policy and procedure related to incarcerated individuals to meet HRSA requirements. All staff will be trained on the new policy.



**Program Performance for HIV Service Category**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021**Outputs****HIV Service Category      SS-Non-Medical Case Management Services**

<b>Output Measure Description</b>		<b>Period Goal</b>		
		<b>Initial/Previous</b>	<b>Actual</b>	<b>Target</b>
<b>How Data Is Compiled</b>				
OP1	Community Action will provide 1304 units of Non-Medical case management services during the term period.  Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of the case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of services were provided monthly.	1,304		1,304
OP2	Community Action will provide non-medical case management services to 47 unduplicated clients during the term with an approximate breakdown as follows: 27 continuing clients and 20 new clients.  Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.	47		47

**Outcomes****HIV Service Category      SS-Non-Medical Case Management Services**

<b>Outcome Measure Description</b>		<b>Period Goal</b>		
		<b>Numerator</b>	<b>Demoninator</b>	<b>Target Percentage</b>
OC1	Percentage of clients, regardless of age, with a diagnosis of HIV with a HIV viral load less than 200 copies/mL at last HIV viral load test during the measurement year. Outcome target 85%  <b>What Data Is Collected</b>  Numerator: Number of clients in the denominator with a HIV viral load less than 200 copies/mL at last HIV viral load less than 200 copies/mL at last HIV viral load test during the measurement year.  Denominator: Number of clients, regardless of age, with a diagnosis of HIV with at least one medical visit in the measurement year.  Patient Exclusions:  -Clients who died at any time during the measurement period.  -Clients whose residency moved outside the 10-county service delivery area during the measurement period.  -Clients who were incarcerated more than 6 months during the measurement year.  <b>How Data Is Compiled</b>  Not in previous system  <b>When Data Is Evaluated</b>  Not in previous system	40	47	85.11



**Program Budget for HIV**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021**Administrative Services**

Service Category	Salaries	Fringe	Travel	Equipment	Supplies	Contractuals	Other	Subtotal
SS-Non-Medical Case Management Services	2,992.00	968.00	0.00	0.00	117.00	0.00	1,111.00	5,188.00
<b>Subtotal</b>	<b>2,992.00</b>	<b>968.00</b>	<b>0.00</b>	<b>0.00</b>	<b>117.00</b>	<b>0.00</b>	<b>1,111.00</b>	<b>5,188.00</b>

**Direct Services**

Service Category	Salaries	Fringe	Travel	Equipment	Supplies	Contractuals	Other	Subtotal
SS-Non-Medical Case Management Services	36,790.00	13,116.00	505.00	0.00	0.00	0.00	2,046.00	52,457.00
<b>Subtotal</b>	<b>36,790.00</b>	<b>13,116.00</b>	<b>505.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2,046.00</b>	<b>52,457.00</b>

**Total Budget**

Service Category	Salaries	Fringe	Travel	Equipment	Supplies	Contractuals	Other	Subtotal
SS-Non-Medical Case Management Services	39,782.00	14,084.00	505.00	0.00	117.00	0.00	3,157.00	57,645.00
<b>Subtotal</b>	<b>39,782.00</b>	<b>14,084.00</b>	<b>505.00</b>	<b>0.00</b>	<b>117.00</b>	<b>0.00</b>	<b>3,157.00</b>	<b>57,645.00</b>



**Program Budget for HIV**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021**Budget Narrative**

<b>Budget Category</b>	<b>Description</b>
<b>SS-Non-Medical Case Management Services</b>	
Salaries	Personnel Salaries
	Case Manager
	\$33,872 per year for 100% of Case Manager \$33,872
	Provides case management, coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits
	Patient Navigator
	\$27,530 per year for 10.599346% time Assistant Case Manager \$2,918
	Provides coordination of services including linkage to medical providers clients, transportation to medical visits, referrals to other services and assistance with applying for benefits
	Administrative
	Personnel
	Executive Director, Accounting Department, Technology Department, HR Department \$2,992
	0.62% of \$482,634 (Total Admin Salaries)
	Provide Support Services for all agency programs prorated based on Cost
	Personnel \$2,992



**Program Budget for HIV**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021

Fringe

FICA & Medicare Tax, Retirement, Medical Benefits,

Texas Unemployment, Workers Comp Insurance

FICA & Medicare Tax - Personnel Subtotal multiplied by 7.65%. \$2,814

Retirement - Personnel Subtotal multiplied by 3%. \$1,104

Medical Benefits - Amount multiplied by 20% of Total Salary. \$7,358

Texas Unemployment 3% of Total Salary \$1,104

Workers Comp Insurance 2% of Total Salary \$736

Fringe Benefits \$13,116

**ADMINISTRATIVE**

FICA:  $0.765 \times \text{salaries} =$  \$229

Insurance: 20% of salaries \$598

Worker's Comp:  $1\% \times \text{salaries}$  \$30

Retirement 3% X Salaries \$90

Unemployment:  $.7\% \text{ of Salaries}$  \$21

Fringe Benefit \$968

**Travel**

Local Mileage

Reimbursement to Program Direct staff for use of  
their privately owned vehicles in the performance  
of program duties within service area 73

miles/mo. x 12 months x \$0.575/mile \$505

Travel \$505

**Supplies**

Office Supplies and Postage

**ADMINISTRATIVE**

Office Supplies and Postage: 1% of \$11,715

Total Annual Cost \$117

Supplies \$117



**Program Budget for HIV**Contract Term: 03/01/2017 - 02/28/2021  
Program Period: 03/01/2020 - 02/28/2021

Other

Rent, Office Space, Audit, General Liability Insurance,

Telephone/Internet, Utilities

## OTHER

Telephone service for program staff use, when

communicating with or on behalf of clients - \$50 X 12 Month \$600

Client direct costs (list and explain cost share calculation, etc.)

Rent - Office Space: \$120.50 Per Month X 12 Mo. Office Space Rental for Case

Manager \$1,446

Other \$2,046

## ADMINISTRATIVE

Rent &amp;#8208; Office Space: .67% of \$65,535 Total Annual Cost (Allocation of

Space cost for all Administrative Staff) \$438

Audit: Admin .77% of \$30000 Total Annual Cost (Allocation of Agency \$231

General Liability Insurance: Admin 1.6% of \$20,382 Total Annual Cost

(Allocation of Annual General Liability Insurance premiums) \$326

Telephone/Internet: Admin .54% of \$10,191 Total Annual Cost

(Allocation of Telephone and Internet service for all Administrative Staff \$55

Utilities: .58% of \$10,478 Total Annual Cost (Allocation of Utilities for

all Administrative Staff) \$61

Other Subtotal \$1,111



# EXHIBIT D

## HIV REQUIRED PERFORMANCE & FINANCIAL REPORTS

### Delivery Schedule for Ryan White Part A Agreements and Contracts

Partial list of required forms and reports, to be submitted no later than the indicated due dates:

Reporting Requirements	Due Dates
<b>ARIES <u>Monthly</u> Data Report</b> and <b>ARIES <u>YTD</u> Data Report</b> (for each sub/service category: Actual Units delivered and Unduplicated Clients served for the billed month, and also cumulative Year-to-Date totals.	Ongoing ARIES data input is required. <b><u>Both</u> ARIES Data Reports</b> are due monthly, no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into PartnerGrants system for monthly Status reports
<b>Monthly Performance Report</b> and <b>Monthly Financial Summary spreadsheets</b> , including Program Income and Administrative Expenditures	Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded <b>complete MS Excel spreadsheet sets</b> into PartnerGrants system for monthly Status reports
<i>(As applicable for each month where expenditures or performance are not within expected range):</i> <b>Monthly Expenditure and Performance Variance Report</b> by HIV Service Category (submitted in MS Word format)	For each service category that meets criteria (instructions on form), a separate form is due no later than the 15 <sup>th</sup> of each month, <b>uploaded as MS Word formatted file</b> into PartnerGrants system for monthly Claim reimbursement requests
<b>Contractor Detail for Monthly Expenditures Report</b> (general ledger/financial system transactions documentation)	Actual monthly & YTD expenditures report generated from the Contractor's financial system. Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into PartnerGrants system for monthly Claim reimbursement requests
<b>Quarterly Outcome Performance Measures Report</b> by service category using definitions of numerators, denominators, and exclusions described in the Austin HIV Services Performance Catalog. Unless otherwise stated, the measurement year is a one-year period ending on the last day of each quarter.  Quarterly outcomes performance must be entered in PartnerGrants under Status Reports. Upload Quarterly Outcome Measures Report under Status Report Documentation. Use Excel form provided by HIV Resources Administration Unit.	<b>First Quarter Report</b> due July 14th 2020, for measurement period ending May 31st 2020 <b>Second Quarter Report</b> due October 14th 2020, for measurement period ending August 31st 2020 <b>Third Quarter Report</b> due January 14th 2021, for the measurement period ending November 30th 2020 <b>Fourth Quarter Report</b> due April 14th 2021, for the measurement period ending February 28th 2021
<b>Agency Profile</b> Annual report with all required attachments submitted into PartnerGrants system	Due in conjunction with the submission of the Grantee's annual financial annual audit report 270 days after the end of Grantee's fiscal year
<b>Final Term Period Closeout Report</b> for the annual contract term	April 14 <sup>th</sup> , 2021
<b>Annual Audit/ Financial Report</b> with Management Letter and all related items – one bound, hard copy original delivered to APH offices <u>plus</u> electronic forms completed and uploaded into PartnerGrants system	No later than 270 calendar days after close of Grantee's fiscal year



# FEDERAL AWARD IDENTIFICATION

1. Subrecipient Name: Community Action, Inc. of Central Texas
2. Subrecipient's DUNS Number: 037318342
3. Federal Award Identification Number 2 H89HA00036-26-00
4. Federal Award Date (date the Federal Award is signed by Federal awarding agency official): 1/29/2020
5. Subaward Period of Performance Start and End Date:  
Start Date 3/1/2020  
End Date 2/28/2021
6. Amount of Federal Funds Obligated to (or Contracted for) by this action by the pass-through entity to the Subrecipient: \$ 57,645
7. Total Amount of Federal Funds Obligated (or Contracted for) to the Subrecipient by the pass-through entity, including the current obligation: \$ 233,416
8. Total Amount of Federal Award awarded to the pass-through entity: \$ 1,059,194
9. Federal Award Project Description (please provide a brief, but concise, description of the purpose and intended outcomes of the subaward):  
This grant program provides core medical and support services for eligible clients living with HIV in the grant service area.
10. Name of Federal Awarding Agency, Pass Through Entity, and contact information for Awarding Official:  
Federal Awarding Agency: U.S. Dept. of Health and Human Services, Health Resources and Services Administration  
Pass Through Entity: Austin Public Health, City of Austin  
Awarding Official Contact Information: Stephanie Hayden, Department Director  
(512) 972-5010, [stephanie.hayden@austintexas.gov](mailto:stephanie.hayden@austintexas.gov)
11. CFDA Number and Name: Ryan White Part A HIV Emergency Relief Grant Program  
CFDA #93.914
12. Is award for Research & Development? No
13. Indirect Cost Rate for the Federal Award: Not Applicable





Amendment No. 4  
to  
Agreement No. 9100 NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**  
(Ryan White Part A)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Fifty Eight Thousand Eight Hundred Fifty Two dollars (\$58,852)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063
Amendment No. 2: Exercise Extension Option #1 (March 1, 2018 – Feb. 28, 2019)	\$ 45,014	\$ 103,077
Amendment No. 3: Add funds to Agreement and modify Program Exhibits	\$13,842	\$116,919
Amendment No. 4: Exercise Extension Option #2 (March 1, 2019 – Feb. 29, 2020)	\$ 58,852	\$ 175,771

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.1.1 -- Program Work Statement for HIV Contract** is deleted in its entirety and replaced with **Exhibit A.1.1 -- Program Work Statement for HIV Contract** [Revised 4/8/2019]

**Exhibit A.1.2 -- Program Work Statement By Service Category** is deleted in its entirety and replaced with **Exhibit A.1.2 -- Program Work Statement By Service Category** [Revised 4/8/2019]

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 4/12/2019]

**Exhibit B.1.1 -- Program Budget for HIV Direct Services** deleted in its entirety and replaced with **Exhibit B.1.1 -- Program Budget for HIV Direct Services** [Revised 4/11/2019]



**Exhibit B.1.2 – Program Budget for HIV Administrative Services** deleted in its entirety and replaced with **Exhibit B.1.2 – Program Budget for HIV Administrative Services** [Revised 4/11/2019]

**Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative** deleted in its entirety and replaced with **Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative** [Revised 4/11/2019]

**Exhibit D – HIV Required Reports** is deleted in its entirety and replaced with **Exhibit D – HIV Required Reports** [Revised 2/27/2019]

**Exhibit G – Federal Award Identification** is deleted in its entirety and replaced with **Exhibit G – Federal Award Identification** [Revised 3/27/2019]

**4.0 The following Terms and Conditions have been MODIFIED:**

4.1.2.1 For the Program Period of 3/1/2019 through 2/29/2020, the payment from the City to the Grantee shall not exceed \$58,852 (*Fifty Eight Thousand Eight Hundred Fifty Two dollars*).

5.0 MBE/WBE goals were not established for this Agreement.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

Signature:



COMMUNITY ACTION, INC. OF CENTRAL  
TEXAS

Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date:

4/12/19

**CITY OF AUSTIN**

Signature:



City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date:

05/09/19



## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2019

***Period End Date*** 2/29/2020

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### ***Client Access***

Community Action, Inc. (CAI) will accept referrals from local social service agencies, medical providers, health departments, and other HIV case management agencies, or client self-referrals. In order to ensure that other community agencies are aware of the services provided by CAI, case managers will attend HIV service provider meetings and community interagency meetings to provide information on how to refer clients to the agency for services. CAI HIV staff will work with local agencies, such as housing authorities, community clinics, hospitals, and drug treatment centers to provide them with information about the agency and the process to refer a client for HIV case management services. CAI HIV staff will also educate hospitals, local clinics, drug treatment centers, the Gary Job Corps Center, and other social service agencies by speaking to these groups. Information such as how to refer an HIV+ individual to CAI, what documentation will be required, HIV case management services, and the CAI service area will be provided. HIV case management staff will also leave brochures for each of the agencies to display.

### ***Service Linkage, Referral, and Collaboration***

The linkage of HIV positive individuals in the rural area to medical care is the primary objective of CAI's HIV program: The Rural AIDS Services Program (RASP). When a client initially contacts the agency, a brief assessment will be conducted over the telephone. If the client is not in medical care, the client will be referred to the most appropriate clinic or primary medical care provider. In most cases, this provider will be the David Powell Clinic (DPC). The case manager will assist the client in completing the DPC intake and submit the intake to DPC. This allows the client to complete the DPC intake at the same time of the case management intake allowing for the client to be able to be seen for a lab appointment at DPC instead of having to wait for an appointment with a DPC social worker to complete their intake process.

Since most RASP clients live in the rural area and do not have access to reliable transportation, CAI will coordinate transportation to and from medical appointments to ensure the client is retained in medical care.

For outside resources, the case manager develops working relationships with other social service providers. The case manager will continue to routinely work with three HIV clinics which include DPC, Red River Family Practice and the Blackstock Family Clinic. RASP case managers also have working relationships with several case management agencies, health and human service providers, pharmacies, landlords, and local utility providers. These relationships are stable and change little from year-to-year. By having these continued working relationships, case managers can coordinate services and reduce duplication of services between agencies. Case managers, with their client's authorization, can obtain verification or services from other Ryan White funded sub-recipients using the ARIES database.

All referrals will be entered in ARIES and will be followed up within five working days of the service being provided. Case managers will also document whether clients successfully followed through on their referrals by using the ARIES database. A copy of the referral from ARIES will be printed and placed in the client's case management file.

### ***Client Input and Involvement***

All clients will actively participate in their case management care plans and work with their case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality medical care. All active clients will have the opportunity to provide their input into the process of continued improvement using the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and are asked to return it in a pre-addressed, postage paid envelope. Survey results are compiled by the Data Manager and shared with the staff and the CAI Quality Management team to develop any necessary action plans to address clients concerns. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The client suggestion box is checked frequently, and concerns are addressed during staff meetings to develop corrective action plans.

### ***Cultural Competency***

Service activities will be delivered so that cultural and language differences do not constitute a barrier to services in full compliance with the National Standards on Culturally and Linguistically Appropriate Services (CLAS). CAI is in compliance

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## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2019

***Period End Date*** 2/29/2020

with the CLAS Standards as listed below.

**Standard 1:**

- \*Staff members are proficient in Spanish, culturally reflective of the Hispanic clients and available to interpret on a daily basis (Five out of the eight HIV staff are bilingual).
- \*Staff members are from diverse backgrounds.
- \*Interpretation services in any language are offered to clients free of charge.
- \*Client materials are written at a 5th grade literacy level.
- \*Client materials are provided in English and Spanish (as available).

**Standard 2:**

- \*Compliance with Equal Employment Opportunity Commission (EEOC) guidelines.
- \*Compliance with the American's with Disabilities Act (ADA).
- \*EEOC and ADA language reflected on all job postings.
- \*Staff are fluent in Spanish, culturally reflective of the Hispanic clients and available to interpret on a daily basis.
- \*Committed to promoting from within for job postings.
- \*Candidates for positions where bi-lingual skills are preferred, such as Spanish, are offered a salary premium for demonstrating appropriate proficiency in the language.
- \*Board members are demographically and culturally diverse.

**Standard 3:**

- \*Annual training for staff related to cultural appropriateness.

**Standard 4:**

- \*Staff are proficient in Spanish, culturally reflective of the Hispanic clients, and available to interpret on a daily basis.
- \*Staff are from diverse backgrounds including Hispanic and African American.
- \*Interpretation services are available in any language and offered to clients free of charge.
- \*Client materials are written at a 5th grade literacy level.
- \*Client materials are provided in English and Spanish (as available).
- \*The bilingual case manager records their voice mail message in Spanish and English.

**Standard 5:**

- \*Interpretation policy offering services free of charge posted at each case management office.
- \*Interpretation services are available in any language and offered to clients free of charge.
- \*Staff trained to notify clients of their right to receive language assistance services free of charge.
- \*The bilingual case manager records their voice mail message in Spanish and English.

**Standard 6:**

- \*Written policy offers interpretation services at no cost to the client in order to prevent the use of family and friends as interpreters.
- \*Staff trained to notify clients of their right to receive language assistance services free of charge.
- \*Staff trained to notify clients that family and friends are not a preferred source for interpretation in order to protect client confidentiality.

**Standard 7:**

- \*Client materials are provided in Spanish and English.
- \*Client materials are written at a 5th grade literacy level.

**Standard 8:**

- \*CAI (agency) strategic plan.

**Standard 9:**

- \*Annual training for staff related to cultural appropriateness.

**Standard 10:**

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## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2019

***Period End Date*** 2/29/2020

\*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level.

\*This data entered onto the client's paper file and into the ARIES data base.

\*This data is updated periodically.

**Standard 11:**

\*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level.

\*This data entered onto the client's paper file and into the ARIES data base.

\*This data is updated periodically.

\*Use of the Austin Transitional Grant Area (TGA) HIV Planning Council's annual client needs assessment.

\*Use of the Brazos Valley Council of Government's (BVCOG) periodic client needs assessment.

**Standard 12:**

\*Collection of data and documentation on each client's race, ethnicity, disabilities, spoken and written language, and literacy level.

\*This data entered onto the client's paper file and into the ARIES data base.

\*This data is updated periodically.

**Standard 13:**

\*Client materials are provided in English and Spanish.

\*Client materials are written at a 5th grade literacy level.

\*Client grievance procedures are provided to each client.

\*CAI has a formal grievance procedure in place.

**Standard 14:**

\*Client needs assessments are provided to board of directors.

\*Client success stories are available via social media, agency website, provided to board of directors, and shared with other staff during annual Agency All Staff Day.

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## Program Work Statement By Service Category

Period Start Date 3/1/2019

Period End Date 2/29/2020

HIV Service Category SS-Case Management Non-medical

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### Client Eligibility

Clients must be HIV positive to be eligible for services to be provided. Other eligibility documents include proof of residency, proof of income and proof of health insurance (if any). Clients and case managers will also complete the Income Calculation documents. In order to verify a client's insurance, clients must provide a copy of their insurance card (private, Medicare, Medicaid), or sign the agency's Statement of No Insurance form. Clients will be reassessed every six months to determine continued eligibility. The Eligibility Specialist is responsible for meeting with all CAI clients to update eligibility following DSHS's birthday and half birthday guidelines. The Eligibility Specialist will keep track of all due dates for all clients utilizing a spreadsheet. She will mail clients an initial notification reminder a month before their due date. The letter notifies the client of the type of eligibility needed to be completed, what documents are required, and instructs the client to call to schedule an appointment to complete the reassessment. If the client has not reached out to the Eligibility Specialist two weeks prior to the deadline, the Eligibility Specialist will call the client to schedule an appointment. If the client has not reached out to the Eligibility Specialist one week prior to the deadline, their case manager will be notified to help assist. All efforts will be made to ensure that eligibility is completed before the deadline in order to ensure the client does not have a lapse in services. All eligibility documents can be found in the client's case management file, under the tab labeled, Eligibility Documents.

### Target Populations

Case management services are open to all persons living with HIV/AIDS who meet the eligibility requirements shown under Client Eligibility.

### Service Category Activities

#### Service activities linked to Budget Justification

All HIV positive individuals with an identified need for case management services who reside within the Community Action, Inc. nine county service area are eligible for case management services regardless of income level.

When an individual requests services provided by Community Action, Inc. (CAI), all new clients and returning clients who have been discharged for more than three months must have an initial screening to determine eligibility. Clients are screened by the case manager in their service area.

If it is determined that a client is eligible for services provided by the agency, the case manager will schedule a face to face intake within 7 business days of the initial contact with the individual. Case managers will inform potential clients of the required documents needed at the time of the intake. Case managers will follow the Standards of Care for specific eligibility requirements needed to receive services, such as proof of diagnosis, income, insurance, and residency. The purpose of the initial intake is to develop trust and rapport between the client and case manager while further determining the immediate needs of the client in order to connect the client to the appropriate resources. The original client intake will be maintained in each client file.

An initial comprehensive assessment is required for all clients who are enrolled in case management services. Most often this assessment can be done at the time of intake but must be completed no later than 30 days of intake. This assessment is done face to face with the client. This information is documented on the agency's assessment forms and in a detailed case note in ARIES.

Comprehensive reassessments are required for all clients enrolled in case management services and provide an opportunity to review a client's progress, consider successes and barriers and evaluate the previous period of case management activities. In conjunction with updating the care plan, the reassessment is a useful time to determine whether the current level of case management services is appropriate, or if the client should be offered alternatives.

For clients receiving non-medical case management services, the comprehensive reassessment is required at either 45, 60, or 90-day intervals, depending on the client's acuity score, and then again annually. This reassessment could be completed sooner if the client's circumstances change significantly.

All reassessments include at a minimum updated personal information such as current contact and identify information,

Created: 4/8/2019 11:33:00 AM Last Modified:



## Program Work Statement By Service Category

Period Start Date 3/1/2019

Period End Date 2/29/2020

### *HIV Service Category SS-Case Management Non-medical*

emergency contact information, confidentiality concerns, household members, and current proof of income, insurance, and residency (to ensure no changes from what is on file). Follow up on previous care plan to ensure all tasks and goals were met. Staff will review the client's current situation and identified needs, such as current health status, health-related needs, client's status and any other needs related to support services. In addition, staff will evaluate the client's strengths and weaknesses and review other services that the client is receiving. All information will be documented in the client's case notes.

Case Managers will accept referrals from various sources including, but not limited to, hospitals, clinics, dental providers, social service agencies, case managers, health departments, and self-referrals. When clients are referred by a medical provider (medical or dental) case managers will ensure that the client's medical needs are address and appropriate referrals are given.

Case Managers will follow up with clients who report being hospitalized or utilize emergency room care. At this time, case managers assess the client's needs in order to complete a needs assessment, and will discuss with the client the importance of following their medical treatment plan. Case managers will also continue to follow up with the client to prevent poor outcomes.

As needed, case managers will be available to discuss with other providers regarding their client's health or social support needs. Case managers will ensure that they have obtained the appropriate releases on information prior to any discussions (case conference). Case managers will document information discussed in an ARIES case note.

The referral procedure outlines the details for the referral and follow-up process. The ARIES Guide outlines the documentation requirements and timelines for entering information into ARIES.

Case Managers follow-up with all referrals within five business days following the delivery of the service to ensure the client followed through with attending the appointment. Clients who are dissatisfied with any services they received from agencies outside of Community Action, Inc. will be encouraged to review the specific agencies grievance procedure and supported in their decision to pursue a grievance or not to pursue a grievance. Concerns raised by clients who are unwilling to address the issue with specific service providers will be brought to the attention of the CCMS. If requested, case managers will work with clients to find an agency that is more suitable.

Case Managers distribute copies of forms and education materials to clients during office visits at least every six months. Staff are expected to put any materials that have HIV/AIDS written on it into a plain envelope for clients. Staff will also provide education as needed during care plan updates. This information can include, but not limited to: medication adherence, HIV disease process, risk reduction, oral health.

### ***Frequency of these service activities***

These activities are conducted by the non-medical case manager based on client acuity. Client acuity level is assessed within 30 calendar days of the initial intake and every 45, 60, or 90 days thereafter or as life circumstance change. CAI utilizes the DSHS TX Acuity Scale.

Level 0, Case Management Not Indicated (NI): these are low acuity clients who need little or no assistance to meet their needs and do not receive case management. NI clients are contacted by their case manager at least annually to determine if their needs or life circumstance have changed since last assessed. These clients may receive a gas voucher and/or be helped with a medication/insurance co-payment, but they do not need a level of help greater than that provided by an office clerk. Eligibility is updated every six months.

Level 1, Basic Case Management (B): these clients are getting most of the services that they need but are inept or inconsistent in obtaining necessary services without reminders and/or supports. Some "B" clients may need specific linkage information or education regarding basic financial management or other life skills. Others in this group may be living successfully but have one or more prominent needs, such as inadequate housing or medication compliance issues that are not being met at the time of assessment. A client who is receiving this monitoring level of case management must be contacted by the case manager at least every three months.

Created: 4/8/2019 11:33:00 AM Last Modified:



## Program Work Statement By Service Category

Period Start Date 3/1/2019

Period End Date 2/29/2020

### *HIV Service Category SS-Case Management Non-medical*

Level 2, Moderate Case Management (M): these clients have clearly defined needs that require ongoing case management intervention to ensure that they attend medical appointments, comply with medication regimens, have a safe and healthful place to live, proper nutrition, and maintain sobriety. The case manager will contact "M" level clients every two months to ensure that the clients are linked with necessary services and are following prescribe routines (medication and medical visits).

Level 3, Intensive Case Management (I): Clients in this category have crisis level needs that require immediate attention to maintain their life and overall wellbeing in the face of debilitating substance abuse, mental illness, and/or extreme deprivation regarding daily living. At least monthly or more frequent contacts are required with these "I" case management clients. Their life situation will be subject to radical shifts from one extreme to another, and close monitoring will be necessary until their status returns to a more manageable level.

#### **Location(s) of these service activities**

These activities can be conducted at the non-medical case manager's office located in San Marcos or if the client is unavailable to come into the office, the non-medical case manager will conduct a home and/or hospital visit.

#### **Staffing**

Non-Medical Case Manager Requirements:

High School Diploma or GED and 1-year minimum experience working with clients or families in a social setting or Bachelor's Degree in Social Work, Counseling, Health, Human or Social Services with no experience. Be able to lift 20 pounds.

Other Requirements:

- Documentation of tuberculin free condition
- Daily access to transportation
- Valid Texas Driver's License—Class C (May be required to obtain a Texas Commercial Driver's License)
- Vehicle insurance (Personal injury and liability)
- Must be flexible with hours

Patient Navigator Requirements:

Minimum requirements for patient navigator:

- High school diploma or GED
- Prefer six months to 1-year work with target populations

Job duties:

- Information and referral
- Forms & applications (ADAP renewal, SNAP, CHIP, HACA)
- Access to Resources (Bus Passes, Gas Vouchers)
- Transportation to medical visits
- Food pantry delivery
- Appointment reminders
- Reinforce adherence messages

#### **Quality Management**

All clients will actively participate in their case management care plans and work with their case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality medical care. Care plans are updated routinely based on the client's acuity level.

All active clients will have the opportunity to provide their input into the process of continued improvement using the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and will be asked to return it in a pre-addressed, postage paid envelope. The Coordinator of Case Management Services will mail out surveys during October, and request that the surveys be returned by the end of December. Survey results are compiled by the CCMS and shared with the staff and the CAI Quality Management team. Data collected will be used to develop any necessary action plans to address clients' concerns. Staff will utilize the PDSA model during this process, and to evaluate the effectiveness of changes made to how services are being provided. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The client suggestion box is checked frequently, and concerns are addressed during staff meetings to

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## Program Work Statement By Service Category

Period Start Date 3/1/2019

Period End Date 2/29/2020

**HIV Service Category** SS-Case Management Non-medical

develop corrective action plans.

Every CAI employee who provides case management services to clients will be properly trained in case management. An HIV case manager must be able to work with clients and develop supportive relationships to enable clients to make the best choices for their well-being and facilitate access to, and use of, available services. Community Action, Inc. will provide new case managers with job-related training that begins within 15 working days of hire and is completed no later than 90 days following hire.

In addition, the following will apply:

- New case managers will receive an initial CAI orientation from Human Resources staff on the first day of employment. This orientation will be scheduled by HR Staff.
- Within the first 30 days of employment, the CCMS will complete the RASP New Employee Case Manager Orientation Training Record, which includes information about the program, position overview, general office information, grant providers/funding, and program policy/procedures.
- New case managers will specifically receive training on intake, acuity, care plans, and recertification of eligibility every six months, privacy, and security training.
- New case managers will be scheduled to work with current case managers in order to complete job shadowing.
- Supervisors will accompany new case managers on home visits within the first 60 days of hire.
- During the probationary period, new case managers will be monitored for completion of case management tasks such as assessments, care planning, and interventions.
- Each new staff who has access to ARIES will be required to take an ARIES 101 training with the BVCOG Data Manager prior to obtaining access to ARIES.
- The CCMS will conduct a required evaluation with the new case manager at 90 days of hire and then annually thereafter.

CAI case managers (full-time) are required to complete 40 hours of continuing education each calendar year. Of these 40 hours, a minimum of 12 hours must be in a relevant topic such as HIV confidentiality and the law, cultural competency, working with special populations, family violence, intake/assessment/reassessment, monitoring outcomes, records management, resource development, safety, care planning and implementation, ethics and HIV, Hepatitis A, B, C, screening tools, disclosure, harm reduction, mental health/substance use, HIV mediations, opportunistic infections, STDs, crisis intervention strategies, and annual Privacy/Confidentiality training & signing a new confidentiality statement. Staff will utilize various sources/agencies for providing trainings on the topics listed above. If there is a topic that case managers are interested in, but are unable to find a source, the CCMS will contact BVCOG for assistance. Case managers will submit monthly training logs to the CCMS indicating what trainings they have attended.

Another quality measure includes case notes and client files to be reviewed in order to ensure that clients' needs are being met. Case notes will be reviewed weekly by the CCMS and any corrections will be sent to the appropriate case manager for follow up. Client charts will be reviewed quarterly to ensure all required documents are in place and match what is in ARIES. All corrections will be given to the appropriate case manager who will follow up and complete corrections within 30 days.

### **HRSA/HAB Ryan White Program Monitoring Standards**

Each Service Category requires its own Program Performance Measures for HIV Contract form to be completed. Staff will use the most recent approved HIV Services Performance Catalog in developing these measures. Staff will contact HRAU if a current copy is needed.

HRSA/HAB Ryan White Part A Program Monitoring Standards: Provider/Subgrantee Responsibilities:

Maintain client records that include the required elements as detailed by the grantee, including:

Date of encounter

Type of encounter

Duration of encounter

Key activities, including benefits/ entitlement counseling and referral services

Response: Community Action, Inc. has updated its policy and procedure related to incarcerated individuals to meet HRSA requirements. All staff will be trained on the new policy.

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2019

Period Performance End 2/29/2020

**Outputs****HIV Service Category SS-Case Management Non-medical****Period Goal**

<b>Output Measure Description</b>		<b>Initial/Previous Adjusted Target</b>		
<b>How Data Is Compiled</b>				
OP1	Community Action will provide 1304 units of Non-Medical case management services during the term period. Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of the case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of services were provided monthly.	1304		1304
OP2	Community Action will provide non-medical case management services to 47 unduplicated clients during the term with an approximate breakdown as follows: 27 continuing clients and 20 new clients. Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.	47		47

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2019

Period Performance End 2/29/2020

**Outcomes****HIV Service Category SS-Case Management Non-medical****Outcome Measure Description****Period Goal****What Data Is Collected****How Data Is Compiled****When Data Is Evaluated****Numerator Denominator Target Percent**

OC1 Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between medical visits

40 47 85.11

Outcome Target: 85%

Numerator: Number of non-medical case management clients in the denominator who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between first medical visit in the prior 6-month period and the last medical visit in the subsequent 6-month period

Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV with at least one medical visit in the first 6 months of the 12-month measurement period

Patient Exclusions:

Clients who died at any time during the 12-month measurement period

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**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2019

Program End Date 2/29/2020

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	36,790.00	13,116.00	752.00	0.00	0.00	0.00	3,163.00	<b>53,821.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>36,790.00</b>	<b>13,116.00</b>	<b>752.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3,163.00</b>	<b>53,821.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2019

Program End Date 2/29/2020

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	2,992.00	968.00	0.00	0.00	117.00	0.00	954.00	<b>5,031.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>2,992.00</b>	<b>968.00</b>	<b>0.00</b>	<b>0.00</b>	<b>117.00</b>	<b>0.00</b>	<b>954.00</b>	<b>5,031.00</b>

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**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2019

Program End Date 2/29/2020

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	39,782.00	14,084.00	752.00	0.00	117.00	0.00	4,117.00	58,852.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<i>Subtotal</i>	39,782.00	14,084.00	752.00	0.00	117.00	0.00	4,117.00	58,852.00

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## ***Program Budget for HIV - Combined Services and Narrative***

### ***Service Category***

### ***Budget Narrative***

SS-Case Management Non-medical

PERSONNEL: Personnel Salaries

FRINGE: FICA & Medicare Tax, Retirement, Medical Benefits, Texas Unemployment, Workers Comp Insurance

TRAVEL: Local Mileage

SUPPLIES: Office Supplies and Postage

OTHER: Rent, Office Space, Audit, General Liability Insurance, Telephone/Internet, Utilities

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## EXHIBIT D

### HIV REQUIRED PERFORMANCE & FINANCIAL REPORTS

#### Delivery Schedule for Ryan White Part A Agreements and Contracts

Partial list of required forms and reports, to be submitted no later than the indicated due dates:

Reporting Requirements	Due Dates
<b>ARIES Monthly Data Report</b> and <b>ARIES YTD Data Report</b> (for each sub/service category: Actual Units delivered and Unduplicated Clients served for the billed month, and also cumulative Year-to-Date totals.	Ongoing ARIES data input is required. <b>Both ARIES Data Reports</b> are due monthly, no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM system
<b>Monthly Performance Report</b> and <b>Monthly Financial Summary spreadsheets</b> , including Program Income and Administrative Expenditures	Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded <b>complete MS Excel spreadsheet sets</b> into CIODM system
<i>(As applicable for each month where expenditures or performance are not within expected range):</i> <b>Monthly Expenditure and Performance Variance Report</b> by HIV Service Category (submitted in MS Word format)	For each service category that meets criteria (instructions on form), a separate form is due no later than the 15 <sup>th</sup> of each month, <b>uploaded as MS Word formatted file</b> into CIODM system
<b>Contractor Detail for Monthly Expenditures Report</b> (general ledger/financial system transactions documentation)	Actual monthly & YTD expenditures report generated from the Contractor's financial system. Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM system
<b>Quarterly OUTCOME Performance Measures report</b> with cumulative YTD client results for numerators, denominators, and percentage rates achieved	<u>First Quarter:</u> March 2019 through May 2019, due July 14 <sup>th</sup> , 2019 <u>Second Quarter:</u> June 2019 through August 2019, due October 14 <sup>th</sup> , 2019 <u>Third Quarter:</u> September 2019 through November 2019, due January 14 <sup>th</sup> , 2020 <u>Fourth Quarter:</u> December 2019 through February 2020, due April 14 <sup>th</sup> , 2020 (final 12-month cumulative YTD report)  All reports must be completed on COA forms and following instructions as provided
<b>Administrative and Fiscal Review (AFR)</b> Annual report with all required attachments submitted into CIODM system	Due in conjunction with the submission of the Grantee's annual financial audit report or financial review report
<b>Final Term Period Closeout Report</b> for the annual contract term	April 14 <sup>th</sup> , 2020
<b>Annual Audit/ Financial Report</b> with Management Letter and all related items – one bound, hard copy original delivered to APH offices <u>plus</u> electronic forms completed and uploaded into CIODM system	No later than 270 calendar days after close of provider agency's fiscal year



# FEDERAL AWARD IDENTIFICATION

1. Subrecipient Name: Community Action, Inc. of Central Texas
2. Subrecipient's DUNS Number: 037318342
3. Federal Award Identification Number 2 H89HA00036-25-00
4. Federal Award Date (date the Federal Award is signed by Federal awarding agency official): 1/10/2019
5. Subaward Period of Performance Start and End Date:  
Start Date 3/1/2019  
End Date 2/29/2020
6. Amount of Federal Funds Obligated to (or Contracted for) by this action by the pass-through entity to the Subrecipient: \$ 58,852
7. Total Amount of Federal Funds Obligated (or Contracted for) to the Subrecipient by the pass-through entity, including the current obligation: \$ 175,771
8. Total Amount of Federal Award awarded to the pass-through entity: \$ 5,098,852
9. Federal Award Project Description (please provide a brief, but concise, description of the purpose and intended outcomes of the subaward):  
This grant program provides core medical and support services for eligible clients living with HIV in the grant service area.
10. Name of Federal Awarding Agency, Pass Through Entity, and contact information for Awarding Official:  
Federal Awarding Agency: U.S. Dept. of Health and Human Services, Health Resources and Services Administration  
Pass Through Entity: Austin Public Health, City of Austin  
Awarding Official Contact Information: Stephanie Hayden, Department Director  
(512) 972-5010, [stephanie.hayden@austintexas.gov](mailto:stephanie.hayden@austintexas.gov)
11. CFDA Number and Name: Ryan White Part A HIV Emergency Relief Grant Program  
CFDA #93.914
12. Is award for Research & Development? No
13. Indirect Cost Rate for the Federal Award: Not Applicable





Amendment No. 4  
to  
Agreement No. NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**  
(Ryan White Part A)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is *minus Seven Thousand Seven Hundred Ninety Nine dollars (-\$7,799)*. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063
Amendment No. 2: Exercise Extension Option #1 (March 1, 2018 – Feb. 28, 2019)	\$ 45,014	\$ 103,077
Amendment No. 3: Add funds to Agreement and modify Program Exhibits	\$13,842	\$116,919
Amendment No. 4: Reduce funds in Agreement and modify Program Exhibits	(\$ 7,799)	\$ 109,120

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 12/21/2018]

**Exhibit B.1.1 -- Program Budget for HIV Direct Services** is deleted in its entirety and replaced with **Exhibit B.1.1 -- Program Budget for HIV Direct Services** [Revised 12/19/2018]

**Exhibit B.1.2 -- Program Budget for HIV Administrative Services** is deleted in its entirety and replaced with **Exhibit B.1.2 -- Program Budget for HIV Administrative Services** [Revised 12/19/2018]



**Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative is deleted in its entirety and replaced with Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative [Revised 12/19/2018].**

**Exhibit G – Federal Award Identification is deleted in its entirety and replaced with Exhibit G – Federal Award Identification [Revised 12/20/2018].**

**4.0 The following Terms and Conditions have been MODIFIED:**

**4.1.2.1 For the Program Period of 3/1/2018 through 2/28/2019, the payment from the City to the Grantee shall not exceed \$51,057 (Fifty One Thousand and Fifty Seven dollars).**

**5.0 MBE/WBE goals were not established for this Agreement.**

**6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.**


**7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.**

**8.0 All other Agreement terms and conditions remain the same.**

**BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.**

**GRANTEE**


Signature:

  
COMMUNITY ACTION, INC. OF CENTRAL  
TEXAS  
Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date: 1/14/19

**CITY OF AUSTIN**

Signature:

  
City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 01/22/19



**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outputs****HIV Service Category SS-Case Management Non-medical**

<b>Output Measure Description</b>	<b>Period Goal</b>		
	<b>Initial/Previous</b>	<b>Adjusted</b>	<b>Target</b>
<b>How Data Is Compiled</b>			
OP1 Community Action Inc. will provide 1,131 units of non-medical case management services.	1304	-173	1131
Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of service were provided monthly.			
OP2 Community Action, Inc will provide non-medical case management services to 47 clients: projecting that 40 will be continuing and 7 will be new.	35	12	47
Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many were continuing.			

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outcomes****HIV Service Category SS-Case Management Non-medical****Outcome Measure Description****Period Goal****What Data Is Collected****How Data Is Compiled****When Data Is Evaluated**

	<b>Numerator</b>	<b>Denominator</b>	<b>Target Percent</b>
--	------------------	--------------------	-----------------------

- OC1 Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had a non-medical case management service plan developed and/or updated two or more times in the measurement year.

38	47	80.85
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The Coordinator of Case Management Services and case managers are responsible for collecting the data required to effectively assess and report on this measure. The specific data elements and values that will be collected include: the Coordinator will review case notes weekly, follow up on objectives listed in each client's care plan will be reviewed, and case managers will meet with clients at a minimum of two times each year to evaluate and update care plans.

Case managers will utilize the ARIES data base to document the plan of care, and the referral and follow-up process. The Coordinator will review case notes to ensure that any needs are entered in the client's care plan. A copy of the care plan will be placed in the client's paper chart.

The Coordinator will conduct quarterly ARIES reports and chart reviews to ensure that the objectives outlined in the plan of care are in fact, being addressed and documented.

- OC2 Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6 month period of the 12 month measurement period within a minimum of 60 days between medical visits.

40	47	85.11
----	----	-------

CAI case managers are responsible for collecting the data required to effectively assess and report on the measure. Case managers will obtain the number of clients who are receiving case management services. Case managers will obtain the number of clients who had two or more medical visits.

At the time of intake, case managers will secure medical records from the client's primary HIV care provider. Case managers will also use the ARIES data base for shared clients to determine when their last medical appointment was held. Case managers will request medical records every 6 months for clients who are not shared or who are seen by a private physician.

Twice a year, case managers will be able to use the ARIES database for clients who are shared at DPC to determine when the client attended a medical visit. Twice a year, for those clients who are not shared, or seen by a private physician, case managers will obtain medical records.

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**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	31,470.00	10,789.00	1,265.00	0.00	0.00	0.00	3,192.00	46,716.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>31,470.00</b>	<b>10,789.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3,192.00</b>	<b>46,716.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	2,400.00	780.00	0.00	0.00	116.00	0.00	1,045.00	<b>4,341.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>2,400.00</b>	<b>780.00</b>	<b>0.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>1,045.00</b>	<b>4,341.00</b>

Created: 2/20/2018 4:25:00 PM Last Modified: 12/19/2018 3:22:00 PM



**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	33,870.00	11,569.00	1,265.00	0.00	116.00	0.00	4,237.00	51,057.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>33,870.00</b>	<b>11,569.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>4,237.00</b>	<b>51,057.00</b>

Created: 2/20/2018 4:25:00 PM Last Modified: 12/19/2018 3:22:00 PM



***Program Budget for HIV - Combined Services and Narrative***

***Service Category***

***Budget Narrative***

SS-Case Management Non-medical

Salaries, fringe benefits, mileage, supplies, rent, facilities, audit, telecommunications, insurance, and staff development costs for this program

***Created:*** 2/20/2018 4:25:00 PM ***Last Modified:*** 12/19/2018 3:22:00 PM





Amendment No. 3  
to  
Agreement No. NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**  
(Ryan White Part A)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is ***Thirteen Thousand Eight Hundred Forty Two dollars (\$13,842)***. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063
Amendment No. 2: Exercise Extension Option #1 (March 1, 2018 – Feb. 28, 2019)	\$ 45,014	\$ 103,077
Amendment No. 3: Add funds to Agreement and modify Program Exhibits	\$13,842	\$116,919

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.1.1 -- Program Work Statement for HIV Contract** is deleted in its entirety and replaced with **Exhibit A.1.1 -- Program Work Statement for HIV Contract** [Revised 7/27/2018]

**Exhibit A.1.2 -- Program Work Statement By Service Category** is deleted in its entirety and replaced with **Exhibit A.1.2 -- Program Work Statement By Service Category** [Revised 7/27/2018]

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 8/3/2018]

**Exhibit B.1.1 -- Program Budget for HIV Direct Services** is deleted in its entirety and replaced with **Exhibit B.1.1 -- Program Budget for HIV Direct Services** [Revised 8/3/2018]

**Exhibit B.1.2 -- Program Budget for HIV Administrative Services** is deleted in its entirety and replaced with **Exhibit B.1.2 -- Program Budget for HIV Administrative Services** [Revised 8/3/2018]

**Exhibit B.1.3 -- Program Budget for HIV Combined Services and Narrative** is deleted in its entirety and replaced with **Exhibit B.1.3 -- Program Budget for HIV Combined Services and Narrative** [Revised 8/3/2018].

**Exhibit G -- Federal Award Identification** is deleted in its entirety and replaced with **Exhibit G -- Federal Award Identification** [Revised 8/3/2018].

**4.0 The following Terms and Conditions have been MODIFIED:**

4.1.2.1 For the Program Period of 3/1/2018 through 2/28/2019, the payment from the City to the Grantee shall not exceed \$58,856 (*Fifty Eight Thousand Eight Hundred Fifty Six dollars*).

5.0 MBE/WBE goals were not established for this Agreement.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

Signature:



COMMUNITY ACTION, INC. OF CENTRAL  
TEXAS

Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date: 8/6/18

**CITY OF AUSTIN**

Signature:



City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 08/15/18



## **Program Work Statement For HIV Contract**

Period Start Date 3/1/2018

Period End Date 2/28/2019

### **Client Access**

Community Action, Inc. (CAI) will accept referrals from local social service agencies, medical providers, health departments, and other HIV case management agencies, or client self-referrals. In order to ensure that other community agencies are aware of the services provided by CAI, case managers will attend HIV service provider meetings and community interagency meetings to provide information on how to refer clients to the agency for services. CAI HIV staff will work with local agencies, such as housing authorities, community clinics, hospitals, and drug treatment centers to provide them with information about the agency and the process to refer a client for HIV case management services. CAI HIV staff will also educate hospitals, local clinics, drug treatment centers, incarceration facilities, the Gary Job Corps Center, and other social service agencies by speaking to these groups. Information such as how to refer an HIV+ individual to CAI, what documentation will be required, HIV case management services, and the CAI service area will be provided. HIV case management staff will also leave brochures for each of the agencies to display.

### **Service Linkage, Referral, and Collaboration**

The linkage of HIV positive individuals in the rural area to medical care is the primary objective of CAI's HIV program, the Rural AIDS Services Program (RASP). When a client initially contacts the agency, a brief assessment will be conducted over the telephone. If the client is not in medical care, the client will be referred to the most appropriate clinic or primary medical care provider. In most cases, this provider will be the David Powell Clinic (DPC). The case manager will assist the client in completing the DPC intake and submit the intake to DPC. This allows the client to complete the DPC intake at the same time of the case management intake allowing for the client to be able to be seen for a lab appointment at DPC instead of having to wait for an appointment with a DPC social worker to complete the intake process.

Since most RASP clients live in the rural area and do not have access to reliable transportation, the agency will coordinate transportation to and from medical appointments to ensure the client stays in medical care.

For outside resources, the case manager develops working relationships with other social service providers. The case manager will continue to routinely work with three HIV clinics which include DPC, Red River Family Practice, and the Blackstock Family Clinic. RASP case managers also have working relationships with several case management agencies, health and human service providers, pharmacies, landlords, and local utility providers. These relationships are stable and change little from year to year. By having these continued working relationships, case managers are able to coordinate services and reduce duplication of services between agencies. Case managers, with their client's authorization, are able to obtain verification of services from other Ryan White funding agencies through the use of the ARIES database. RASP case managers will work diligently to connect clients with resources located in Austin and to develop resources in their local communities. The RASP HIV program will collaborate with local organizations available in the service area to meet client's needs.

RASP HIV case managers will refer clients to several agencies and medical providers. These other providers include medical providers, mental health counselors, food bank programs, utility assistance programs, housing programs, other social service programs. The agency will maintain up to date Memorandums of Understanding (MOU) with each of the agencies that referrals are made to.

All referrals will be entered in ARIES and will be followed up within five working days of the service being provided. Case managers will also document whether clients successfully followed through on their referrals by using the ARIES data base. A copy of the referral from ARIES will be printed and placed in the client's case management file.

### **Client Input and Involvement**

All clients will actively participate in their care plan and work with the case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality care. All active clients will have the opportunity to provide their input into the process of continued improvement through the use of the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and are asked to return it, in a pre-addressed, postage paid envelope. The report of the survey results are compiled by the Data

Created: 2/20/2018 10:22:00 AM Last Modified: 7/27/2018 7:55:00 AM

## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2018

***Period End Date*** 2/28/2019

Manager and shared with the staff and the CAI Quality Management team to develop any necessary action plans to address any expressed concerns. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The box is checked frequently and concerns are addressed during staff meetings to develop corrective action plans.

### ***Cultural Competency***

Service activities will be delivered so that cultural and language differences do not constitute a barrier to services in full compliance with the National Standards on Culturally and Linguistically Appropriate Services (CLAS) described at: <http://minorityhealth.hhs.gov/templates/browse>

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## Program Work Statement By Service Category

Period Start Date 3/1/2018

Period End Date 2/28/2019

HIV Service Category SS-Case Management Non-medical

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### Client Eligibility

Clients must be HIV positive to be eligible for services provided by Community Action, Inc. (CAI) HIV program, the Rural AIDS Service Program (RASP). RASP staff members will obtain at least one of the following documents as proof of a client's HIV positive status: a lab report indicating a detectable Viral Load, written verification from a physician, or use of the agency's Medical Certification Form. Proof of HIV diagnosis is obtained once at the time of the client's intake and kept in the client's file.

Other eligibility documents include photo ID, proof of residency, income (if any), and health insurance (if any). As proof of residency clients can provide a copy of the client's current driver's license, utility bill in the client's name, or a copy of the client's rent/lease/mortgage agreement. Clients must provide proof of income in the form of a check stub from the last 30 days, a Social Security award letter, or sign the agency's Statement of No Income form. Clients and case managers will also complete the MAGI or Mock MAGI documents. In order to verify a client's insurance, clients must provide a copy of their insurance card (private, Medicare, Medicaid), or sign the agency's Statement of No Insurance form. Clients will be reassessed every six months to determine continued eligibility. Eligibility is conducted on the Birthday and Half Birthday Month calendar, which is recommended by DSHS. All of these eligibility documents can be found in the client's case management file, under the tab labeled, Eligibility Documents.

### Target Populations

The Non-Medical Case Manager will provide case management services to persons living with HIV/AIDS who meet eligibility requirements and who reside in the counties of Hays, Caldwell, Bastrop, and Williamson.

### Service Category Activities

#### Service activities linked to Budget Justification

Provides case management, coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits.

#### Frequency of these service activities

These activities are conducted on a daily basis by the non-medical case manager.

#### Location(s) of these service activities

These activities can be conducted at the non-medical case manager's office located in San Marcos or if the client is unavailable to come into the office, the non-medical case manager will conduct a home and/or hospital visit.

### Staffing

CAI staffs the agency with qualified individuals at the case manager, supervisor, support staff, and administrative levels. The non-medical case manager is properly trained in case management and is able to work with clients to develop a supportive relationship to enable clients to make the best choices for their well-being and facilitate access to, and use of, available services. CAI will assure that the non-medical case manager possesses the following skills: communication and interpersonal skills, creativity, flexibility, accountability, time management skills, the ability to develop rapport, an empathies and understanding of professionalism, ethics and values, ability to use a strengths based perspective when working with clients, utilization of a holistic approach, and the ability to establish and maintain appropriate boundaries.

Ongoing annual training will be completed by the non-medical case manager. Each year, the non-medical case manager will complete 40 hours of continuing education. Of those 40 hours, a minimum of 12 hours will be related to the Core Proficiencies established by DSHS and listed in the HIV Case Management Standards of Care. These core proficiencies include HIV Confidentiality and the Law, Cultural Competency, Working with Special Populations, Family Violence, Intake/Assessment/Reassessment, Monitoring Outcomes, Records Management, resource Development, Safety, Care Planning and Implementation, Ethics and HIV, Hepatitis A, B, C, Screening Tools, HIV Disclosure, Harm Reduction, Mental Health, Substance Use, HIV Treatment and Adherence, Opportunistic Infections, and STDs.

The non-medical case manager will provide case management services for the targeted population listed. Case

Created: 2/20/2018 11:00:00 AM Last Modified: 7/27/2018 7:56:00 AM

## ***Program Work Statement By Service Category***

***Period Start Date*** 3/1/2018

***Period End Date*** 2/28/2019

### ***HIV Service Category SS-Case Management Non-medical***

management includes working with clients to assess needs and ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy. The case manager will develop a realist care plan with clients that includes short and long term goals. The case manager will locate existing resources in the rural community and provides information and referrals for resources to clients and their families. they will also conduct routine follow up visits and telephone contact to monitor and update the care plan as needed. When needed, the case manager coordinates transportation for clients to medical and social service appointments. The case manager also promotes awareness and sensitivity to the needs of the clients among rural social service agencies and ensures that client access to existing rural services does not compromise their privacy.

In addition to non-medical case management, CAI will provide less intense, patient navigation services for the target population listed. This will include working with the clients to assess needs, ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy, working closely with the client's case manager to ensure needs are met and new needs are addressed, locating existing resources in the rural community and providing information and referrals for resources to clients and their families. Other activities include maintaining contact with clients via telephone or face to face office visits, and coordinating transportation for clients to medical and social service appointments. All of these services are completed in a manner as to ensure confidentiality and privacy.

### ***Quality Management***

Data collected from the output and outcome measures will be used to evaluate the current case management program and will be used to assist with the quality improvement efforts at the individual and program level. This data will provide critical information to ensure that the program and clients are able to meet their goals. For example, if case managers identify certain trends with clients not meeting goals, they can discuss with the clients what barriers may exist. Case managers can help clients find alternatives or solutions to overcoming any particular barrier. Once the client is able to overcome these barriers, the goals can be met.

### ***HRSA/HAB Ryan White Part A Program Monitoring Standards***

CAI will comply with all applicable Part A Program Monitoring Standards and other requirements for this service category and grant program.

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outputs****HIV Service Category SS-Case Management Non-medical****Period Goal**

<b>Output Measure Description</b>		<b>Initial/Previous</b>	<b>Adjusted</b>	<b>Target</b>
<b>How Data Is Compiled</b>				
OP1	Community Action Inc. will provide 1,304 units of non-medical case management services. Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of service were provided monthly.	1203	101	<b>1304</b>
OP2	Community Action will provide non-medical case management services to 35 clients: 30 will be continuing and 5 will be new. Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.	45	-10	<b>35</b>
n/a	n/a			
n/a	n/a			
n/a	n/a			
n/a	n/a			

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8/3/2018 8:10:00 AM

**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outcomes****HIV Service Category SS-Case Management Non-medical**

<b>Outcome Measure Description</b>		<b>Period Goal</b>		
<b>What Data Is Collected</b>				
<b>How Data Is Compiled</b>				
<b>When Data Is Evaluated</b>		<b>Numerator</b>	<b>Denominator</b>	<b>Target Percent</b>
OC1	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had a non-medical case management service plan developed and/or updated two or more times in the measurement year.	28	35	80.00
<p>Numerator: Number of non-medical case management clients who had a non-medical case management service plan developed and/or updated two or more times which are at least three months apart in the measurement year</p> <p>Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one non-medical case management encounter in the measurement year</p> <p>Client exclusions:</p> <ol style="list-style-type: none"> <li>1. Non-medical case management clients who initiated non-medical case management services in the last 6 months of the measurement year.</li> <li>2. Non-medical case management clients who were discharged from non-medical case management services prior to six months of service in the measurement year.</li> </ol> <p>The Coordinator of Case Management Services (CCMS) and case managers are responsible for collecting the data required to effectively assess and report on this measure. The specific data elements and values that will be collected include: the CCMS will review case notes weekly, follow-up on objectives listed in each client's care plan will be reviewed, and case managers will meet with clients at a minimum of two times each year to evaluate and update care plans.</p> <p>Case managers will utilize the ARIES data base to document the plan of care, and the referral and follow-up process. The CCMS will review case notes weekly to ensure that any needs are entered in the client's care plan. A copy of the care plan will be placed in the client's paper chart.</p> <p>The CCMS will conduct quarterly ARIES reports and chart reviews to ensure that the objectives outlined in the plan of care are, in fact, being addressed and documented.</p>				
OC2	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6 month period of the 12 month measurement period with a minimum of 60 days between medical visits.	30	35	85.71

Numerator: Number of non-medical case management clients in the denominator who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between first medical visit in the prior 6-month period and the last medical visit in the subsequent 6-month period

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8/3/2018 8:10:00 AM



## **Program Performance for HIV Service Category**

**Period Performance Start** 3/1/2018

**Period Performance End** 2/28/2019

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Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV with at least one medical visit in the first 6 months of the 12-month measurement period

Client Exclusions: Clients who died at any time during the 12-month measurement period

RASP case managers are responsible for collecting the data required to effectively assess and report on the measure. Case managers will obtain the number of clients who are receiving case management services. Case managers will obtain the number of clients who had two or more medical visits.

At the time of intake, case managers will secure medical records from the client's primary HIV care provider. Case managers will also use the ARIES database for shared clients to determine when their last medical appointment was held. Case managers will request medical records every 6 months for clients who are not shared or who are seen by a private physician.

Twice a year, case managers will be able to use the ARIES database for clients who are shared at DPC to determine when the client attended a medical visit. Twice a year, for those clients who are not shared or seen by a private physician, case managers will obtain medical records.

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8/3/2018 8:10:00 AM

**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	36,790.00	12,579.00	1,265.00	0.00	0.00	0.00	3,212.00	53,846.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>36,790.00</b>	<b>12,579.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>3,212.00</b>	<b>53,846.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	2,920.00	944.00	0.00	0.00	116.00	0.00	1,030.00	5,010.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>2,920.00</b>	<b>944.00</b>	<b>0.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>1,030.00</b>	<b>5,010.00</b>

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**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	39,710.00	13,523.00	1,265.00	0.00	116.00	0.00	4,242.00	58,856.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>39,710.00</b>	<b>13,523.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>4,242.00</b>	<b>58,856.00</b>

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***Program Budget for HIV - Combined Services and Narrative***

***Service Category***

***Budget Narrative***

SS-Case Management Non-medical

Salaries, fringe benefits, mileage, supplies, rent, facilities, audit, telecommunications, insurance, and staff development costs for this program

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# FEDERAL AWARD IDENTIFICATION

1. Subrecipient Name: Community Action, Inc. of Central Texas
2. Subrecipient's DUNS Number: 037318342
3. Federal Award Identification Number: 6 H89HA00036-24-03
4. Federal Award Date (date the Federal Award is signed by Federal awarding agency official): 5/22/2018
5. Subaward Period of Performance Start and End Date:  
Start Date 3/1/2018  
End Date 2/28/2019
6. Amount of Federal Funds Obligated to (or Contracted for) by this action by the pass-through entity to the Subrecipient: \$13,842
7. Total Amount of Federal Funds Obligated (or Contracted for) to the Subrecipient by the pass-through entity, including the current obligation: \$116,919
8. Total Amount of Federal Award awarded to the pass-through entity: \$4,920,729
9. Federal Award Project Description (please provide a brief, but concise, description of the purpose and intended outcomes of the subaward):  
This grant program provides core medical and support services for eligible clients living with HIV in the grant service area.
10. Name of Federal Awarding Agency, Pass Through Entity, and contact information for Awarding Official:  
Federal Awarding Agency: U.S. Dept. of Health and Human Services, Health Resources and Services Administration  
Pass Through Entity: Austin Public Health, City of Austin  
Awarding Official Contact Information: Stephanie Hayden, Department Director  
(512) 972-5010, [stephanie.hayden@austintexas.gov](mailto:stephanie.hayden@austintexas.gov)
11. CFDA Number and Name: Ryan White Part A HIV Emergency Relief Grant Program  
CFDA #93.914
12. Is award for Research & Development? No
13. Indirect Cost Rate for the Federal Award: Not Applicable





Amendment No. 2  
to  
Agreement No. NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Forty Five Thousand and Fourteen dollars (\$45,014)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063
Amendment No. 2: Exercise Extension Option #1 (March 1, 2018 – Feb. 28, 2019)	\$ 45,014	\$ 103,077

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.1.1 -- Program Work Statement for HIV Contract** is deleted in its entirety and replaced with **Exhibit A.1.1 -- Program Work Statement for HIV Contract** [Revised 3/5/2018]

**Exhibit A.1.2 -- Program Work Statement By Service Category** is deleted in its entirety and replaced with **Exhibit A.1.2 -- Program Work Statement By Service Category** [Revised 3/5/2018]

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 3/5/2018]

**Exhibit B.1.1 -- Program Budget for HIV Direct Services** deleted in its entirety and replaced with **Exhibit B.1.1 -- Program Budget for HIV Direct Services** [Revised 3/5/2018]

**Exhibit B.1.2 -- Program Budget for HIV Administrative Services** deleted in its entirety and replaced with **Exhibit B.1.2 -- Program Budget for HIV Administrative Services** [Revised 3/5/2018]

**Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative** deleted in its entirety and replaced with **Exhibit B.1.3 – Program Budget for HIV Combined Services and Narrative** [Revised 3/5/2018].

**Exhibit D – Part A Required Reports** is deleted in its entirety and replaced with **Exhibit D – Part A Required Reports** [Revised 3/2/2018]

**Exhibit G – Federal Award Identification** is added to the Agreement.

**4.0 The following Terms and Conditions have been MODIFIED:**

4.1.2.1 For the Program Period of 3/1/2018 through 2/28/2019, the payment from the City to the Grantee shall not exceed \$45,014 (Forty Five Thousand and Fourteen dollars).

**5.0 MBE/WBE goals were not established for this Agreement.**

**6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.**


**7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.**

**8.0 All other Agreement terms and conditions remain the same.**

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

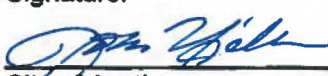
Signature:

  
COMMUNITY ACTION, INC. OF CENTRAL  
TEXAS  
Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date: 3/9/18

**CITY OF AUSTIN**

Signature:

  
City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 03/15/18



## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2018

***Period End Date*** 2/28/2019

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### ***Client Access***

Community Action, Inc. (CAI) will accept referrals from local social service agencies, medical providers, health departments, and other HIV case management agencies, or client self-referrals. In order to ensure that other community agencies are aware of the services provided by CAI, case managers will attend HIV service provider meetings and community interagency meetings to provide information on how to refer clients to the agency for services. CAI HIV staff will work with local agencies, such as housing authorities, community clinics, hospitals, and drug treatment centers to provide them with information about the agency and the process to refer a client for HIV case management services. CAI HIV staff will also educate hospitals, local clinics, drug treatment centers, incarceration facilities, the Gary Job Corps Center, and other social service agencies by speaking to these groups. Information such as how to refer an HIV+ individual to CAI, what documentation will be required, HIV case management services, and the CAI service area will be provided. HIV case management staff will also leave brochures for each of the agencies to display.

### ***Service Linkage, Referral, and Collaboration***

The linkage of HIV positive individuals in the rural area to medical care is the primary objective of CAI's HIV program, the Rural AIDS Services Program (RASP). When a client initially contacts the agency, a brief assessment will be conducted over the telephone. If the client is not in medical care, the client will be referred to the most appropriate clinic or primary medical care provider. In most cases, this provider will be the David Powell Clinic (DPC). The case manager will assist the client in completing the DPC intake and submit the intake to DPC. This allows the client to complete the DPC intake at the same time of the case management intake allowing for the client to be able to be seen for a lab appointment at DPC instead of having to wait for an appointment with a DPC social worker to complete the intake process.

Since most RASP clients live in the rural area and do not have access to reliable transportation, the agency will coordinate transportation to and from medical appointments to ensure the client stays in medical care.

For outside resources, the case manager develops working relationships with other social service providers. The case manager will continue to routinely work with three HIV clinics which include DPC, Red River Family Practice, and the Blackstock Family Clinic. RASP case managers also have working relationships with several case management agencies, health and human service providers, pharmacies, landlords, and local utility providers. These relationships are stable and change little from year to year. By having these continued working relationships, case managers are able to coordinate services and reduce duplication of services between agencies. Case managers, with their client's authorization, are able to obtain verification of services from other Ryan White funding agencies through the use of the ARIES database. RASP case managers will work diligently to connect clients with resources located in Austin and to develop resources in their local communities. The RASP HIV program will collaborate with local organizations available in the service area to meet client's needs.

RASP HIV case managers will refer clients to several agencies and medical providers. These other providers include medical providers, mental health counselors, food bank programs, utility assistance programs, housing programs, other social service programs. The agency will maintain up to date Memorandums of Understanding (MOU) with each of the agencies that referrals are made to.

All referrals will be entered in ARIES and will be followed up within five working days of the service being provided. Case managers will also document whether clients successfully followed through on their referrals by using the ARIES data base. A copy of the referral from ARIES will be printed and placed in the client's case management file.

### ***Client Input and Involvement***

All clients will actively participate in their care plan and work with the case manager to develop realistic goals. Case managers are the client's advocate in obtaining quality care. All active clients will have the opportunity to provide their input into the process of continued improvement through the use of the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from CAI, will be mailed a client satisfaction survey and are asked to return it, in a pre-addressed, postage paid envelope. The report of the survey results are compiled by the Data

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## **Program Work Statement For HIV Contract**

**Period Start Date** 3/1/2018

**Period End Date** 2/28/2019

Manager and shared with the staff and the CAI Quality Management team to develop any necessary action plans to address any expressed concerns. Clients can also place anonymous suggestions, complaints, or compliments in a suggestion box located in each case manager's office. The box is checked frequently and concerns are addressed during staff meetings to develop corrective action plans.

### **Cultural Competency**

Service activities will be delivered so that cultural and language differences do not constitute a barrier to services in full compliance with the National Standards on Culturally and Linguistically Appropriate Services (CLAS) described at: <http://minorityhealth.hhs.gov/templates/browse>

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## Program Work Statement By Service Category

Period Start Date 3/1/2018

Period End Date 2/28/2019

HIV Service Category SS-Case Management Non-medical

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### Client Eligibility

Clients must be HIV positive to be eligible for services provided by Community Action, Inc. (CAI) HIV program, the Rural AIDS Service Program (RASP). RASP staff members will obtain at least one of the following documents as proof of a client's HIV positive status: a positive HIV Western Blot lab report indicating a detectable Viral Load, written verification from a physician, or use of the agency's Medical Certification Form. Proof of HIV diagnosis is obtained once at the time of the client's intake and kept in the client's file.

Other eligibility documents include photo ID, proof of residency, income (if any), and health insurance (if any). As proof of residency clients can provide a copy of the client's current driver's license, utility bill in the client's name, or a copy of the client's rent/lease/mortgage agreement. Clients must provide proof of income in the form of a check stub from the last 30 days, a Social Security award letter, or sign the agency's Statement of No Income form. Clients and case managers will also complete the MAGI or Mock MAGI documents. In order to verify a client's insurance, clients must provide a copy of their insurance card (private, Medicare, Medicaid), or sign the agency's Statement of No Insurance form. Clients will be reassessed every six months to determine continued eligibility. Eligibility is conducted on the Birthday and Half Birthday Month calendar, which is recommended by DSHS. All of these eligibility documents can be found in the client's case management file, under the tab labeled, Eligibility Documents.

### Target Populations

The Non-Medical Case Manager will provide case management services to persons living with HIV/AIDS who meet eligibility requirements and who reside in the counties of Hays, Caldwell, Bastrop, and Williamson.

### Service Category Activities

#### Service activities linked to Budget Justification

Provides case management, coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits.

#### Frequency of these service activities

These activities are conducted on a daily basis by the non-medical case manager.

#### Location(s) of these service activities

These activities can be conducted at the non-medical case manager's office located in San Marcos or if the client is unavailable to come into the office, the non-medical case manager will conduct a home and/or hospital visit.

### Staffing

CAI staffs the agency with qualified individuals at the case manager, supervisor, support staff, and administrative levels. The non-medical case manager is properly trained in case management and is able to work with clients to develop a supportive relationship to enable clients to make the best choices for their well-being and facilitate access to, and use of, available services. CAI will assure that the non-medical case manager possesses the following skills: communication and interpersonal skills, creativity, flexibility, accountability, time management skills, the ability to develop rapport, an empathies and understanding of professionalism, ethics and values, ability to use a strengths based perspective when working with clients, utilization of a holistic approach, and the ability to establish and maintain appropriate boundaries.

Ongoing annual training will be completed by the non-medical case manager. Each year, the non-medical case manager will complete 40 hours of continuing education. Of those 40 hours, a minimum of 12 hours will be related to the Core Proficiencies established by DSHS and listed in the HIV Case Management Standards of Care. These core proficiencies include HIV Confidentiality and the Law, Cultural Competency, Working with Special Populations, Family Violence, Intake/Assessment/Reassessment, Monitoring Outcomes, Records Management, resource Development, Safety, Care Planning and Implementation, Ethics and HIV, Hepatitis A, B, C, Screening Tools, HIV Disclosure, Harm Reduction, Mental Health, Substance Use, HIV Treatment and Adherence, Opportunistic Infections, and STDs.

The non-medical case manager will provide case management services for the targeted population listed. Case management

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## ***Program Work Statement By Service Category***

***Period Start Date*** 3/1/2018

***Period End Date*** 2/28/2019

### ***HIV Service Category SS-Case Management Non-medical***

includes working with clients to assess needs and ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy. The case manager will develop a realist care plan with clients that includes short and long term goals. The case manager will locate existing resources in the rural community and provides information and referrals for resources to clients and their families. they will also conduct routine follow up visits and telephone contact to monitor and update the care plan as needed. When needed, the case manager coordinates transportation for clients to medical and social service appointments. The case manager also promotes awareness and sensitivity to the needs of the clients among rural social service agencies and ensures that client access to existing rural services does not compromise their privacy.

In addition to non-medical case management, CAI will provide less intense, patient navigation services for the target population listed. This will include working with the clients to assess needs, ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy, working closely with the client's case manager to ensure needs are met and new needs are addressed, locating existing resources in the rural community and providing information and referrals for resources to clients and their families. Other activities include maintaining contact with clients via telephone or face to face office visits, and coordinating transportation for clients to medical and social service appointments. All of these services are completed in a manner as to ensure confidentiality and privacy.

#### ***Quality Management***

Data collected from the output and outcome measures will be used to evaluate the current case management program and will be used to assist with the quality improvement efforts at the individual and program level. This data will provide critical information to ensure that the program and clients are able to meet their goals. For example, if case managers identify certain trends with clients not meeting goals, they can discuss with the clients what barriers may exist. Case managers can help clients find alternatives or solutions to overcoming any particular barrier. Once the client is able to overcome these barriers, the goals can be met.

#### ***HRSA/HAB Ryan White Part A Program Monitoring Standards***

CAI will comply with all applicable Part A Program Monitoring Standards and other requirements for this service category and grant program.

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outputs****HIV Service Category SS-Case Management Non-medical****Period Goal**

<b>Output Measure Description</b>		<b>Initial/Previous Adjusted Target</b>		
<b>How Data Is Compiled</b>				
OP1	Community Action Inc. will provide 1203 units for the maximum annual authorization level and 327 units of non-medical case management services for the initial award level.  Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of service were provided monthly.	1203		1203
OP2	Community Action will provide non-medical case management services to 45 clients at the maximum annual authorization level and 20 unduplicated clients for the initial award level. Of these initial clients, about 17 will be continuing and about 3 will be new.  Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.	45		45
	n/a			
	n/a			
	n/a			
	n/a			
	n/a			

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2018

Period Performance End 2/28/2019

**Outcomes****HIV Service Category SS-Case Management Non-medical**

<b>Outcome Measure Description</b>		<b>Period Goal</b>		
<b>What Data Is Collected</b>				
<b>How Data Is Compiled</b>				
<b>When Data Is Evaluated</b>		<b>Numerator</b>	<b>Denominator</b>	<b>Target Percent</b>
OC1	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had a non-medical case management service plan developed and/or updated two or more times in the measurement year.	16	20	80.00

Client exclusions: Non-medical case management clients who initiated non-medical case management services in the last 6 months of the measurement year. Non-medical case management clients who were discharged from non-medical case management services prior to six months of service in the measurement year.

The Coordinator of Case Management Services (CCMS) and case managers are responsible for collecting the data required to effectively assess and report on this measure. the specific data elements and values that will be collected include: the CCMS will review case notes weekly, follow up to objectives listed in each client's care plan will be reviewed, and case managers will meet with clients at a minimum of two times each year to evaluate and update care plans.

Case managers will utilize the ARIES data base to document the plan of care and the referral and follow-up process. The CCMS will review case notes weekly to ensure that any needs are entered in the client's care plan. A copy of the care plan will be placed in the client's paper chart.

The CCMS will conduct quarterly ARIES reports and chart reviews to ensure that the objectives outlined in the plan of care are in fact being addressed and documented.

OC2	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6 month period of the 12 month measurement period with a minimum of 60 days between medical visits.	17	20	85.00
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Client exclusions: clients who died at any time during the 12 month measurement period.

RASP case managers are responsible for collecting the data required to effectively assess and report on the measure. Case managers will obtain the number of clients who are receiving case management services. Case managers will obtain the number of clients who had two or more medical visits.

At the time of intake, case managers will secure medical records from the client's primary HIV care provider. Case managers will also use the ARIES database for shared clients to determine when their last medical appointment was held. Case managers will request medical records every 6 months for clients who are not shared or who are seen by a private physician.

Twice a year, case managers will be able to use the ARIES database for clients who are shared at DPC to determine when the client attended a medical visit. Twice a

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## **Program Performance for HIV Service Category**

**Period Performance Start** 3/1/2018

**Period Performance End** 2/28/2019

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year, for those clients who are not shared or seen by a private physician, case managers will obtain medical records.

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**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	36,700.05	8,313.95	0.00	0.00	0.00	0.00	0.00	45,014.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
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Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>36,700.05</b>	<b>8,313.95</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>45,014.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

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**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2018

Program End Date 2/28/2019

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	36,700.05	8,313.95	0.00	0.00	0.00	0.00	0.00	<b>45,014.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>36,700.05</b>	<b>8,313.95</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>45,014.00</b>

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## ***Program Budget for HIV - Combined Services and Narrative***

### ***Service Category***

### ***Budget Narrative***

SS-Case Management Non-medical

Salaries and fringe benefits for the Part A staff. The amounts above are projected for the maximum annual authorization level. The initial award level amounts are provided within the uploaded budget worksheets.

***Created:*** 2/20/2018 4:25:00 PM ***Last Modified:*** 3/5/2018 8:11:00 AM

## Exhibit D

### REQUIRED PERFORMANCE and FINANCIAL REPORTS

#### Delivery Schedule for Ryan White Part A/MAI Grant Agreements and Contracts

Partial list of required forms and reports, to be submitted no later than the indicated due dates:

Reporting Requirements	Due Dates
<b>ARIES Monthly Data Report and ARIES YTD Data Report</b> (for each sub/service category: Actual Units delivered and Unduplicated Clients served for the billed month, and also cumulative Year-to-Date totals. <b>For MAI program – breakdown by target group is also required</b>	Ongoing ARIES data input is required. Two ARIES Data Reports are due monthly, no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM (Community Information Online Data Management) system
<b>Monthly Performance Report and Monthly Financial Summary spreadsheets</b> , including Program Income and Administrative Expenditures	Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded <b>complete MS Excel spreadsheet sets</b> into CIODM system
<i>(As applicable for each month where expenditures or performance are not within expected range):</i> <b>Monthly Expenditure and Performance Variance Report</b> by HIV Service Category (submitted in MS Word format)	For each service category that meets criteria (instructions on form), a separate form is due no later than the 15 <sup>th</sup> of each month, <b>uploaded as MS Word formatted file</b> into CIODM system
<b>Contractor Detail for Monthly Expenditures Report</b> (general ledger/financial system transactions documentation)	Submit contract actual monthly & YTD expenditures report generated from the Contractor's financial management system. Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM system
<b>Semi-Annual OUTCOME Performance Measures report</b> with cumulative YTD client results for numerators, denominators, and percentage rates achieved	October 14, 2018 (initial 6-month report) and April 14, 2019 (final 12-month cumulative YTD report) on forms and following instructions as provided by City
<b>Ryan White Program Services Report (RSR)</b> for calendar year 2017 submitted online into HRSA's EHB system, or as directed	March 2019, or as directed by City – for period January through December 2018
<b>Administrative and Fiscal Review (AFR)</b> Annual report with all required attachments submitted in CIODM or as directed	With Audit (below) or as directed by City
<b>Term Period Closeout Report</b> for this 12-month renewal term	April 14, 2019
<b>Annual Audit/ Financial Report</b> with Management Letter and all related items	No later than 270 calendar days after close of provider agency's fiscal year





Amendment No. 1  
to  
Agreement No. NG170000038  
for  
Social Services  
between  
**COMMUNITY ACTION, INC. OF CENTRAL TEXAS**  
and the  
**CITY OF AUSTIN**

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Thirty Six Thousand Five Hundred Eighty Five dollars (\$36,585)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (March 1, 2017 – Feb. 28, 2018)	n/a	\$ 21,478
Amendment No. 1: Add funds to Agreement and modify Program Exhibits	\$ 36,585	\$ 58,063

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.2 -- Program Performance for HIV Service Category** is deleted in its entirety and replaced with **Exhibit A.2 -- Program Performance for HIV Service Category** [Revised 7/28/2017]

**Exhibit B.1.1 -- Program Budget for HIV Direct Services** deleted in its entirety and replaced with **Exhibit B.1.1 -- Program Budget for HIV Direct Services** [Revised 7/28/2017]

**Exhibit B.1.2 -- Program Budget for HIV Administrative Services** deleted in its entirety and replaced with **Exhibit B.1.2 -- Program Budget for HIV Administrative Services** [Revised 7/28/2017]

**Exhibit B.1.3 -- Program Budget for HIV Combined Services and Narrative** deleted in its entirety and replaced with **Exhibit B.1.3 -- Program Budget for HIV Combined Services and Narrative** [Revised 8/9/2017].

- 4.0 The following Terms and Conditions have been MODIFIED:

Section 4.1 **Agreement Amount**. The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by the City under this Agreement for the initial 12 month term shall not exceed the amount approved by City Council,

which is **\$58,063 (Fifty Eight Thousand and Sixty Three dollars)**, and **\$58,063 (Fifty Eight Thousand and Sixty Three dollars)** per 12 month extension option, for a total Agreement amount of \$174,189. Continuation of the Agreement beyond the initial 12 months is specifically contingent upon the availability and allocation of funding, and authorization by City Council.

4.1.2.1 For the Program Period of 3/1/2017 through 2/28/2018, the payment from the City to the Grantee shall not exceed **\$58,063 (Fifty Eight Thousand and Sixty Three dollars)**.

5.0 MBE/WBE goals were not established for this Agreement.

6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.

7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

Signature: \_\_\_\_\_

Carole Belver

COMMUNITY ACTION, INC. OF CENTRAL TEXAS

Carole Belver, Executive Director  
101 Uhland Road, Suite 107  
San Marcos, TX 78666

Date: \_\_\_\_\_

8/8/17

**CITY OF AUSTIN**

Signature: \_\_\_\_\_

Sam Willett

City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: \_\_\_\_\_

8/24/17



**Program Performance for HIV Service Category**

Period Performance Start 3/1/2017

Period Performance End 2/28/2018

**Outputs****HIV Service Category SS-Case Management Non-medical****Period Goal****Output Measure Description****Initial****Adjusted****Target****How Data Is Compiled**

OP1 Number of UNITS of Non-Medical case management services provided to eligible Part A clients during the term period

575

575

Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of the case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of services were provided monthly.

OP2 Number of unduplicated clients receiving Non-Medical Case Management services. For the initial Part A award amount, CAI expects to serve about 25 eligible clients, with an approximate breakdown as follows:

25

25

- a.About 20 Continuing clients will be served; and
- b.about 5 New clients will be served

Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2017

Period Performance End 2/28/2018

**Outcomes****HIV Service Category SS-Case Management Non-medical****Outcome Measure Description****Period Goal****What Data Is Collected****How Data Is Compiled****When Data Is Evaluated**

	<b>Numerator</b>	<b>Denominator</b>	<b>Target Percent</b>
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OC1 Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had a non-medical case management service plan developed and/or updated two or more times in the measurement year.  
Outcome target: 80%

20

25

80.00

Numerator: Number of non-medical case management clients who had a non-medical case management service plan developed and/or updated two or more times which are at least three months apart in the measurement year

Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one non-medical case management encounter in the measurement year

**Client Exclusions:**

1. Non-medical case management clients who initiated non-medical case management services in the last six months of the measurement year
2. Non-medical case management clients who were discharged from non-medical case management services prior to six months of service in the measurement year

The Coordinator of Case Management Services (CCMS) and case managers are responsible for collecting the data required to effectively assess and report on this measure. The specific data elements and values that will be collected include:

1. The CCMS will review case notes on a weekly basis.
2. Follow up to objectives listed in each client's care plan will be reviewed.
3. Case managers will meet with clients at a minimum of two times each year to evaluate and update care plans.

1. Case managers will utilize the ARIES database to document the plan of care and the referral and follow-up process.

2. The CCMS will review case notes weekly to ensure that any needs are entered in the client's care plan.

3. A copy of the care plan will be placed in the client's paper chart.

The CCMS will conduct quarterly ARIES reports and chart reviews to ensure that the objectives outlined in the plan of care are in fact being addressed and documented.

OC2 Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between medical visits.

21

25

84.00

Numerator: Number of non-medical case management clients in the denominator who had at least one medical visit in each 6-

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## ***Program Performance for HIV Service Category***

***Period Performance Start*** 3/1/2017

***Period Performance End*** 2/28/2018

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month period of the 12-month measurement period with a minimum of 60 days between first medical visit in the prior 6-month period and the last medical visit in the subsequent 6-month period

Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV with at least one medical visit in the first 6 months of the 12-month measurement period

Client Exclusions: Clients who died at any time during the 12-month measurement period

Part A-CAI case managers are responsible for collecting the data required to effect assess and report on this measure.

1. Case managers will obtain the number of clients who are receiving case management services.
2. Case managers will obtain the number of clients who had two or more medical visits.

1. At the time of intake, case managers will secure medical records from the client's primary HIV care provider.

2. Case managers will also use the ARIES database for "shared" clients to determine when their last medial appointment was held.

3. Case managers will request medical records every 6 months for clients who are not "shared" or who are seen by a private physician.

1. Twice a year, case managers will be able to use the ARIES database for clients who are "shared" at DPC to determine when the client attended a medical visit.

2. Twice a year, for those clients who are not shared or are seen by a private physician, case managers will obtain medical records.

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**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	35,859.00	13,261.00	1,265.00	0.00	0.00	0.00	2,820.00	53,205.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
<b>Subtotal</b>	<b>35,859.00</b>	<b>13,261.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>2,820.00</b>	<b>53,205.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	2,805.00	907.00	0.00	0.00	116.00	0.00	1,030.00	<b>4,858.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>2,805.00</b>	<b>907.00</b>	<b>0.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>1,030.00</b>	<b>4,858.00</b>

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**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	38,664.00	14,168.00	1,265.00	0.00	116.00	0.00	3,850.00	<b>58,063.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<i>Subtotal</i>	<b>38,664.00</b>	<b>14,168.00</b>	<b>1,265.00</b>	<b>0.00</b>	<b>116.00</b>	<b>0.00</b>	<b>3,850.00</b>	<b>58,063.00</b>

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## Program Budget for HIV - Combined Services and Narrative

<i>Service Category</i>	<i>Budget Narrative</i>
SS-Case Management Non-medical	<p><b>DIRECT SERVICES PERSONNEL</b></p> <p>Case Manager Provides case management, coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits</p> <p>Patient Navigator Provides coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits</p> <p><b>DIRECT FRINGE BENEFITS</b></p> <p>FICA &amp; Medicare Tax - Personnel Subtotal multiplied by % rate Retirement - Personnel Subtotal multiplied by 3% rate Medical Benefits - 22.33% of Salaries Texas Unemployment 2% of Total Salary Workers Comp Insurance 2% of Total Salary</p> <p><b>TRAVEL</b></p> <p>Local Mileage: Reimbursement to Program Direct staff for use of their privately owned vehicles in the performance of program duties within service area</p> <p><b>OTHER</b></p> <p>Telephone service for program staff use, when communicating with or on behalf of clients Rent - Office Space Rental for Case Manager Utilities for Case Manager Offices</p> <p><b>ADMINISTRATIVE COSTS</b></p> <p><b>PERSONNEL</b></p> <p>Proportional share of Salaries &amp; Fringe Benefits for Executive Director, Accounting, Technology, and HR staff which provide Admin. Services for all agency programs prorated based on Cost Allocation Plan</p> <p><b>SUPPLIES</b></p> <p>Office Supplies and Postage</p> <p><b>OTHER</b></p> <p>Rent - Office Space (Allocation of Space cost for all Administrative Staff) Audit (Allocation of Agency A-133 Audit) General Liability Insurance (Allocation of Annual General Liab Insurance premiums) Telephone/Internet (Allocation of Telephone and Internet service for all Administrative Staff) Utilities (Allocation of Utilities for all Administrative Staff) Staff Development (Allocation of Training Cost of Administrative Staff)</p>

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## **M E M O R A N D U M**

**City of Austin  
Financial Services Department  
Purchasing Office**

**DATE:** 04/24/2017

**TO:** Memo to File

**FROM:** Marty James, Procurement Specialist II

**RE:** MA 9100 NG170000038 COMMUNITY ACTION INC OF CENTRAL TEXAS

This contract was created and administered by the Austin Public Health (APH). All original documents are located with the department. The Purchasing Office is not responsible for any procurement action for this contract other the creation of the payment mechanism for accounting purposes.





**AGREEMENT BETWEEN  
THE CITY OF AUSTIN  
AND  
COMMUNITY ACTION, INC. OF CENTRAL TEXAS  
FOR  
SOCIAL SERVICES**

**AGREEMENT NO. NG170000038**

**AGREEMENT AMOUNT: \$21,478**

This Agreement is made by and between the City of Austin (the City) acting by and through its Austin Public Health department (APH), a home-rule municipality incorporated by the State of Texas, and Community Action, Inc. of Central Texas (Grantee), a Texas non-profit corporation, having offices at 101 Uhland Road, Suite 107, San Marcos, TX 78666.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

**1.1 Engagement of the Grantee.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Grantee is engaged to provide the services set forth in the attached Agreement Exhibits.

**1.2 Responsibilities of the Grantee.** The Grantee shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Agreement Exhibits. The Grantee shall assure that all Agreement provisions are met by any Subgrantee performing services for the Grantee.

**1.3 Responsibilities of the City.** The City's Agreement Manager will be responsible for exercising general oversight of the Grantee's activities in completing the Program Work Statement. Specifically, the Agreement Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Agreement, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Grantee, and shall approve all requests for payment, as appropriate. The City's Agreement Manager shall give the Grantee timely feedback on the acceptability of progress and task reports. The Agreement Manager's oversight of the Grantee's activities shall be for the City's benefit and shall not imply or create any partnership or joint venture as between the City and the Grantee.

**1.4 Designation of Key Personnel.** The City's Agreement Manager for this Agreement, to the extent stated in the preceding Section 1.3, shall be responsible for oversight and monitoring of Grantee's performance under this Agreement as needed to represent the City's interest in the Grantee's performance.

**1.4.1** The City's Agreement Manager or designee:

- may meet with Grantee to discuss any operational issues or the status of the services or work to be performed; and
- shall promptly review all written reports submitted by Grantee, determine whether the reports comply with the terms of this Agreement, and give Grantee timely feedback on the adequacy of progress and task reports or necessary additional information.

1.4.2 Grantee's Agreement Manager, Carole Belver, Executive Director, or designee, shall represent the Grantee with regard to performance of this Agreement and shall be the designated point of contact for the City's Agreement Manager.

1.4.3 If either party replaces its Agreement Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## SECTION 2. TERM

2.1 **Term of Agreement.** The Agreement shall be in effect for a term of 12 months beginning March 1, 2017 through February 28, 2018, and may be extended thereafter for up to 2 additional 12 month periods, subject to the approval of the Grantee and the City Purchasing Officer or their designee.

2.1.1 Upon expiration of the initial term or period of extension, the Grantee agrees to hold over under the terms and conditions of this Agreement for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed upon in writing).

## SECTION 3. PROGRAM WORK STATEMENT

3.1 **Grantee's Obligations.** The Grantee shall fully and timely provide all services described in the attached Agreement Exhibits in strict accordance with the terms, covenants, and conditions of the Agreement and all applicable federal, state, and local laws, rules, and regulations.

## SECTION 4. COMPENSATION AND REPORTING

4.1 **Agreement Amount.** The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by the City under this Agreement for the initial 12 month term shall not exceed the amount approved by City Council, which is **\$21,478 (Twenty One Thousand Four Hundred Seventy Eight dollars)**, and \$21,478 (*Twenty One Thousand Four Hundred Seventy Eight dollars*) per 12 month extension option, for a total Agreement amount of \$64,434. Continuation of the Agreement beyond the initial 12 months is specifically contingent upon the availability and allocation of funding, and authorization by City Council.

4.1.1 The Grantee shall expend City funds according to the approved budget categories described in Exhibit B.1, Program Budget and Narrative.

4.1.1.1 **Budget Revision:** The Grantee may make transfers between or among the approved budget categories with the City Agreement Manager's prior approval, provided that:

- i. The cumulative amount of the transfers between direct budget categories (Personnel, Operating Expenses, Direct Assistance and/or Equipment/Capital Outlay) is not more than 10% of the program period total –or– \$50,000, whichever is less;
- ii. the transfers will not increase or decrease the total monetary obligation of the City under this Agreement; and
- iii. the transfers will not change the nature, performance level, or scope of the program funded under this Agreement.

4.1.1.2 Transfers between or among the approved budget categories in excess of 10% or more than \$50,000 will require the City Agreement Manager's approval, and must meet all of the conditions outlined in Section 4.1.1.1 (ii) and (iii) above.

- i. The Grantee must submit a Budget Revision Form to the City prior to the submission of the Grantee's first monthly billing to the City following the transfer.

4.1.2 Payment to the Grantee shall be made in the following increments:

4.1.2.1 For the Program Period of 3/1/2017 through 2/28/2018, the payment from the City to the Grantee shall not exceed \$21,478 (*Twenty One Thousand Four Hundred Seventy Eight dollars*).



**4.2 Requests for Payment.** Payment to the Grantee shall be due 30 calendar days following receipt by the City of Grantee's fully and accurately completed "Payment Request" and "Monthly Expenditure Report", using forms at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City no later than 5:00 p.m. Central Standard Time 15 calendar days following the end of the month covered by the request and expenditure report. If the 15<sup>th</sup> calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the payment request and expenditure report is extended to no later than 5:00 p.m. Central Standard Time of the 1<sup>st</sup> weekday immediately following the weekend or holiday. Grantee must provide the City with supporting documentation for each monthly Payment Request which includes, but not limited to, a report of City Agreement expenditures generated from the Grantee's financial management system. Examples of appropriate supporting documentation **MAY** include, but are not limited to:

- General Ledger Detail report from the Grantee's financial management system
- Profit & Loss Detail report from the Grantee's financial management system
- Check ledger from the Grantee's financial management system
- Payroll reports and summaries, including salary allocation reports and signed timesheets
- Receipts and invoices
- Copies of checks and bank statements showing transactions as cleared

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation, as needed.**

4.2.1 Unless otherwise expressly authorized in the Agreement, the Grantee shall pass through all Subagreement and other authorized expenses at actual cost without markup.

4.2.2 Federal excise taxes, state taxes, or City sales taxes must not be included in the invoiced amount. The City will furnish a tax exemption certificate upon request.

**4.3 Payment.**

4.3.1 All requests accepted and approved for payment by the City will be paid within 30 calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for payment received without the information required in Section 4.2 cannot be processed, will be returned to the Grantee, and City will make no payment in connection with such request.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until 10 calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Grantee to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Grantee;

4.3.3.2 third party claims, which are not covered by the insurance which the Grantee is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Grantee to pay Subgrantees, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or Grantees, which is not covered by insurance required to be provided by the Grantee;

4.3.3.5 reasonable evidence that the Grantee's obligations will not be completed within the time specified in the Agreement, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Grantee to submit proper payment requests and expenditure reports with all required attachments and supporting documentation;



4.3.3.7 failure of the Grantee to comply with any material provision of the Agreement; or

4.3.3.8 identification of previously reimbursed expenses determined to be unallowable after payment was made.

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Agreement is dependent upon the availability of funding and authorization by Council. The City's payment obligations are payable only and solely from funds appropriated and available for this Agreement. The absence of appropriated or other lawfully available funds shall render the Agreement null and void to the extent funds are not appropriated or available and any deliverables delivered but unpaid shall be returned to the Grantee. The City shall provide the Grantee written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Agreement, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Agreement. In the event of non- or inadequate appropriation of funds, there will be no penalty or removal fees charged to the City.

4.5 **Travel Expenses.** All approved travel, lodging, and per diem expenses in connection with the Agreement for which reimbursement may be claimed by the Grantee under the terms of the Agreement will be reviewed against the City's Travel Policy and the current United States General Services Administration Domestic Per Diem Rates (Rates) as published and maintained on the Internet at:

<http://www.gsa.gov/portal/category/21287>

No amounts in excess of the Travel Policy or Rates shall be paid. No reimbursement will be made for expenses not actually incurred. Airline fares in excess of coach or economy will not be reimbursed. Mileage charges may not exceed the amount permitted as a deduction in any year under the Internal Revenue Code or Regulation.

#### 4.6 **Final Payment and Close-Out.**

4.6.1 The making and acceptance of final payment will constitute:

4.6.1.1 a waiver of all claims by the City against the Grantee, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Grantee to comply with the Agreement or the terms of any warranty specified herein, regardless of when the cause for a claim is discovered (4) arising from the Grantee's continuing obligations under the Agreement, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.6.1.2 a waiver of all claims by the Grantee against the City other than those previously asserted in writing and not yet settled.

#### 4.7 **Financial Terms.**

4.7.1 The City agrees to pay Grantee for services rendered under this Agreement and to reimburse Grantee for actual, eligible expenses incurred and paid in accordance with all terms and conditions of this Agreement. The City shall not be liable to Grantee for any costs incurred by Grantee which are not reimbursable as set forth in Section 4.8.

4.7.2 The City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Section 4.9 and any other deliverable required under this Agreement.

4.7.3 Payments to the Grantee will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Agreement, and payments will not be resumed until the Grantee is in full compliance.

4.7.4 The City shall not be liable to Grantee for any costs which have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by Grantee which were: a) incurred prior to the effective date of this Agreement or outside the



Agreement period as referenced in Sections 4.1.2 and 4.8.1., or b) not billed to the City within 5 business days before the due date for the Grantee's annual Contract Progress Report or Contract Closeout Summary Report, whichever is applicable.

4.7.5 Grantee agrees to refund to the City any funds paid under this Agreement which the City determines have resulted in overpayment to Grantee or which the City determines have not been spent by Grantee in accordance with the terms of this Agreement. Refunds shall be made by Grantee within 30 calendar days after a written refund request is submitted by the City. The City may, at its discretion, offset refunds due from any payment due Grantee, and the City may also deduct any loss, cost, or expense caused by Grantee from funds otherwise due.

4.7.6 Grantee shall deposit and maintain all funds received under this Agreement in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Agreement. The Grantee's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Agreement are disbursed. Grantee must be able to produce an accounting system-generated report of exact expenses or portions of expenses charged to the City for any given time period.

4.7.7 Grantee is required to utilize an online Agreement management system for billing and reporting in accordance with the City's guidelines, policies, and procedures. Grantee is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

4.7.8 Grantee shall expend the City budget in a reasonable manner in relation to Agreement time elapsed and/or Agreement program service delivery schedule. If cumulative expenditures are not within acceptable amounts, the City may require the Grantee to: 1) submit an expenditure plan, and/or 2) amend the Agreement budget amount to reflect projected expenditures, as determined by the City.

#### **4.8 Allowable and Unallowable Costs.**

The City shall make the final determination of whether a cost is allowable or unallowable under this Agreement.

4.8.1 **Reimbursement Only.** Expenses and/or expenditures shall be considered reimbursable only if incurred during the current Program Period identified in Section 4.1.2, directly and specifically in the performance of this Agreement, and in conformance with the Agreement Exhibits. Grantee agrees that, unless otherwise specifically provided for in this Agreement, payment by the City under the terms of this Agreement is made on a reimbursement basis only; Grantee must have incurred and paid costs prior to those costs being invoiced and considered allowable under this Agreement and subject to payment by the City. Expenses incurred during the Program Period may be paid up to 30 days after the end of the Program Period and included in the Final Payment Request for the Program Period, which shall be due no later than 5 p.m. CST 5 business days before the due date for the Grantee's annual Contract Progress Report or Contract Closeout Summary Report, whichever is applicable.

4.8.2 To be allowable under this Agreement, a cost must meet all of the following general criteria:

1. Be reasonable for the performance of the activity under the Agreement.
2. Conform to any limitations or exclusions set forth in this Agreement.
3. Be consistent with policies and procedures that apply uniformly to both government-financed and other activities of the organization.
4. Be determined and accounted in accordance with generally accepted accounting principles (GAAP).
5. Be adequately documented.

4.8.3 The City's prior written authorization is required in order for the following to be considered allowable costs. Inclusion in the budget within this Agreement constitutes "written authorization." The

item shall be specifically identified in the budget. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alteration, construction, or relocation of facilities
2. Cash payments, including cash equivalent gift cards such as Visa, MasterCard and American Express
3. Equipment and other capital expenditures.
4. Interest, other than mortgage interest as part of a pre-approved budget under this Agreement
5. Organization costs (costs in connection with the establishment or reorganization of an organization)
6. Purchases of tangible, nonexpendable property, including fax machines, stereo systems, cameras, video recorder/players, microcomputers, software, printers, microscopes, oscilloscopes, centrifuges, balances and incubator, or any other item having a useful life of more than one year and an acquisition cost, including freight, of over \$5,000
7. Selling and marketing
8. Travel/training outside Travis County

4.8.4 The following types of expenses are specifically **not allowable** with City funds under this Agreement. The City shall have the authority to make the final determination as to whether an expense is an allowable cost.

1. Alcoholic beverages
2. Bad debts
3. Compensation of trustees, directors, officers, or advisory board members, other than those acting in an executive capacity
4. Contingency provisions (funds). (Self-insurance reserves and pension funds are allowable.)
5. Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringement
6. Deferred costs
7. Depreciation
8. Donations and contributions including donated goods or space
9. Entertainment costs, other than expenses related to client incentives
10. Fines and penalties (including late fees)
11. Fundraising and development costs
12. Goods or services for officers' or employees' personal use
13. Housing and personal living expenses for organization's officers or employees
14. Idle facilities and idle capacity
15. Litigation-related expenses (including personnel costs) in action(s) naming the City as a Defendant
16. Lobbying or other expenses related to political activity
17. Losses on other agreements or casualty losses
18. Public relations costs, except reasonable, pre-approved advertising costs related directly to services provided under this Agreement
19. Taxes, other than payroll and other personnel-related levies
20. Travel outside of the United States of America

#### 4.9 **Reports.**

4.9.1 Grantee must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Agreement Manager using the forms shown at <http://www.ckodm.com/austin/> by the deadline outlined in Section 4.2. Grantee must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Grantee in an amount equal to the City's payment obligations, subject to deduction for any unallowable costs.

4.9.2 Grantee shall submit a quarterly performance report using the format and method specified by the City no later than 5:00 p.m. Central Time 15 calendar days following each calendar quarter. If the



15<sup>th</sup> calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the quarterly performance report is extended to no later than 5:00 p.m. Central Standard Time of the 1<sup>st</sup> weekday immediately following the weekend or holiday. Grantee shall provide complete and accurate supporting documentation upon request by City. Payment Requests will not be approved if any accurate and complete performance report, including any required documentation, is past due. Performance reports on a frequency other than quarterly may be required by the City based upon business needs.

4.9.3 An annual Contract Progress Report, using the forms shown at <http://www.ckodm.com/austin/>, shall be completed by the Grantee and submitted to the City within 60 calendar days following the end of each Program Period identified in Section 4.1.2.

4.9.4 A Contract Closeout Summary Report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Grantee and submitted to the City within 60 calendar days following the expiration or termination of this Agreement. Any encumbrances of funds incurred prior to the date of termination of this Agreement shall be subject to verification by the City. Upon termination of this Agreement, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Agreement shall be returned to the City.

4.9.5 Grantee shall provide the City with a copy of the completed Administrative and Fiscal Review (AFR) using the forms shown at <http://www.ckodm.com/austin/>, and required AFR Attachments, including a copy of the Grantee's completed Internal Revenue Service Form 990 or 990EZ (Return of Organization Exempt from Income Tax) if applicable, for each calendar year to be due in conjunction with submission of the Grantee's annual financial audit report or financial review report as outlined in Section 4.12.4. If Grantee filed a Form 990 or Form 990EZ extension request, Grantee shall provide the City with a copy of that application of extension of time to file (IRS Form 2758) within 30 days of filing said form(s), and a copy of the final IRS Form 990 document(s) immediately upon completion.

4.9.6 Grantee shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Agreement as required by the City.

#### **4.10 Grantee Policies and Procedures.**

4.10.1 Grantee shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans with Disabilities Act; Conflict of Interest; Whistleblower; and Criminal Background Checks.

4.10.2 Grantee shall provide the City with copies of revised Articles of Incorporation and Doing Business As (DBA) certificates (if applicable) within 14 calendar days of receipt of the notice of filing by the Secretary of State's office. Grantee shall provide the City with copies of revised By-Laws within 14 calendar days of their approval by the Grantee's governing body.

#### **4.11 Monitoring and Evaluation.**

4.11.1 Grantee agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Grantee and Subgrantees to the Program Work Statement, Program Performance Measures, and Program Budget, as well as other provisions of this Agreement. Grantee shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 The City expressly reserves the right to monitor client-level data related to services provided under this Agreement. If the Grantee asserts that client-level data is legally protected from disclosure to the City, a specific and valid legal reference to this assertion must be provided and is subject to acceptance by the City's Law Department.

4.11.3 Grantee shall provide the City with copies of all evaluation or monitoring reports received from other funding sources during the Agreement Term upon request following the receipt of the final report.

4.11.4 Grantee shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of approved minutes of those meetings.

#### **4.12 Financial Audit of Grantee.**

4.12.1 In the event Grantee expends \$750,000 or more in a year in federal awards, Grantee shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Grantee's fiscal year until the end of the term of this Agreement.

4.12.2 If Grantee is not subject to the Single Audit Act, and expends \$750,000 or more during the Grantee's fiscal year, then Grantee shall have a full financial audit performed in accordance with Generally Accepted Auditing Standards (GAAS). If less than \$750,000 is expended, then a financial review is acceptable, pursuant to the requirements of this Agreement.

4.12.3 Grantee shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Grantee must submit 1 Board-approved, bound hard copy of a complete financial audit report or financial review report, to include the original auditor Opinion Letter/Independent Auditor's Report within 270 calendar days of the end of Grantee's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report or financial review report must include the Management Letter/Internal Controls Letter, if one was issued by the auditor. Grantee may not submit electronic copies of financial audit reports or financial review reports to the City. Financial audit reports or financial review reports must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 The City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review report received from the Grantee;
- ii. That the auditor presented the financial audit report/financial review report to the Grantee's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review report was presented to the Grantee's Board of Directors or a committee of the Board.

4.12.6 The City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review report to the Grantee's Board of Directors or a committee of the Board.

- i. Grantee's Board Chair must submit a signed and dated copy of the APH Board Certification form to the City as verification.

A signed and dated copy of the APH Board Certification form will be due to the City with the financial audit report/financial review report. The City will deem the financial audit report/financial review report incomplete if the Grantee fails to submit the Board Certification form, as required by this Section.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and GAAS, in a Grantee's audit requires the creation and submission to the City of a corrective action plan formally approved by the Grantee's governing board. The plan must be submitted to the City within 60 days after the audit is submitted to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable



period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.12.8 The expiration or termination of this Agreement shall in no way relieve the Grantee of the audit requirement set forth in this Section.

**4.12.9 Right To Audit By Office of City Auditor.**

4.12.9.1 Grantee agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Grantee related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, the City shall have the right to immediately suspend the Agreement, upon written notice to Grantee, if Grantee fails to cooperate with this audit provision. The Grantee shall retain all such records for a period of 5 years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Grantee are resolved, whichever is longer. The Grantee agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Grantee shall include this audit requirement in any subagreements entered into in connection with this Agreement.

**4.13 Ownership of Property.**

4.13.1 Ownership title to all capital acquisition, supplies, materials or any other property purchased with funds received under this Agreement and in accordance with the provisions of the Agreement, is vested with the City and such property shall, upon termination of the Agreement, be delivered to the City upon request.

4.13.2 Written notification must be given to the City within 5 calendar days of delivery of nonexpendable property (defined as anything that has a life or utility of more than 1 year and an acquisition cost, including freight, of over \$5,000 in order for the City to effect identification and recording for inventory purposes. Grantee shall maintain adequate accountability and control over such property, maintain adequate property records, perform an annual physical inventory of all such property, and report this information in the Annual Agreement Progress Report, due 60 days after the end of each Program Period, as well as in the Agreement Closeout Summary Report, due 60 days after the end of the Agreement Term.

4.13.3 In the event Grantee's services are retained under a subsequent agreement, and should Grantee satisfactorily perform its obligations under this Agreement, Grantee shall be able to retain possession of non-expendable property purchased under this Agreement for the duration of the subsequent agreement.

4.13.4 Property purchased with City funds shall convey to the Grantee 2 years after purchase, unless notified by the City in writing.

**SECTION 5. TERMINATION**

5.1 **Right To Assurance.** Whenever one party to the Agreement in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Agreement.

5.2 **Default.** The Grantee shall be in default under the Agreement if the Grantee (a) fails to fully, timely and faithfully perform any of its material obligations under the Agreement, (b) fails to provide adequate assurance of performance under the "Right to Assurance" paragraph herein, (c) becomes insolvent or seeks

relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Grantee's Offer, or in any report or deliverable required to be submitted by Grantee to the City.

**5.3 Termination For Cause.** In the event of a default by the Grantee, the City shall have the right to terminate the Agreement for cause, by written notice effective 10 calendar days, unless otherwise specified, after the date of such notice, unless the Grantee, within such 10 day period, cures such default, or provides evidence sufficient to prove to the City's reasonable satisfaction that such default does not, in fact, exist. The City may place Grantee on probation for a specified period of time within which the Grantee must correct any non-compliance issues. Probation shall not normally be for a period of more than 9 months; however, it may be for a longer period, not to exceed 1 year depending on the circumstances. If the City determines the Grantee has failed to perform satisfactorily during the probation period, the City may proceed with suspension. In the event of a default by the Grantee, the City may suspend or debar the Grantee in accordance with the "City of Austin Purchasing Office Probation, Suspension and Debarment Rules for Vendors" and remove the Grantee from the City's vendor list for up to 5 years and any Offer submitted by the Grantee may be disqualified for up to 5 years. In addition to any other remedy available under law or in equity, the City shall be entitled to recover all actual damages, costs, losses and expenses, incurred by the City as a result of the Grantee's default, including, without limitation, cost of cover, reasonable attorneys' fees, court costs, and prejudgment and post-judgment interest at the maximum lawful rate. All rights and remedies under the Agreement are cumulative and are not exclusive of any other right or remedy provided by law.

**5.4 Termination Without Cause.** The City shall have the right to terminate the Agreement, in whole or in part, without cause any time upon 30 calendar-days prior written notice. Upon receipt of a notice of termination, the Grantee shall promptly cease all further work pursuant to the Agreement, with such exceptions, if any, specified in the notice of termination. The City shall pay the Grantee, to the extent of funds appropriated or otherwise legally available for such purposes, for all goods delivered and services performed and obligations incurred prior to the date of termination in accordance with the terms hereof.

**5.5 Fraud.** Fraudulent statements by the Grantee on any Offer or in any report or deliverable required to be submitted by the Grantee to the City shall be grounds for the termination of the Agreement for cause by the City and may result in legal action.

## **SECTION 6. OTHER DELIVERABLES**

**6.1 Insurance.** The following insurance requirements apply.

### **6.1.1 General Requirements**

6.1.1.1 The Grantee shall at a minimum carry insurance in the types and amounts indicated herein for the duration of the Agreement and during any warranty period.

6.1.1.2 The Grantee shall provide a Certificate of Insurance as verification of coverages required below to the City at the below address prior to Agreement execution and within 14 calendar days after written request from the City.

6.1.1.3 The Grantee must also forward a Certificate of Insurance to the City whenever a previously identified policy period has expired, or an extension option or holdover period is exercised, as verification of continuing coverage.

6.1.1.4 The Grantee shall not commence work until the required insurance is obtained and has been reviewed by the City. Approval of insurance by the City shall not relieve or decrease the liability of the Grantee hereunder and shall not be construed to be a limitation of liability on the part of the Grantee.

6.1.1.5 The Grantee must maintain and make available to the City, upon request, Certificates of Insurance for all Subgrantees.



6.1.1.6 The Grantee's and all Subgrantees' insurance coverage shall be written by companies licensed to do business in the State of Texas at the time the policies are issued and shall be written by companies with A.M. Best ratings of B+VII or better. The City will accept workers' compensation coverage written by the Texas Workers' Compensation Insurance Fund.

6.1.1.7 All endorsements naming the City as additional insured, waivers, and notices of cancellation endorsements as well as the Certificate of Insurance shall contain the Grantee's email address, and shall be mailed to the following address:

City of Austin  
Austin Public Health  
ATTN: Contract Management Team  
P. O. Box 1088  
Austin, Texas 78767

6.1.1.8 The "other" insurance clause shall not apply to the City where the City is an additional insured shown on any policy. It is intended that policies required in the Agreement, covering both the City and the Grantee, shall be considered primary coverage as applicable.

6.1.1.9 If insurance policies are not written for amounts specified, the Grantee shall carry Umbrella or Excess Liability Insurance for any differences in amounts specified. If Excess Liability Insurance is provided, it shall follow the form of the primary coverage.

6.1.1.10 The City shall be entitled, upon request, at an agreed upon location, and without expense, to review certified copies of policies and endorsements thereto and may make any reasonable requests for deletion or revision or modification of particular policy terms, conditions, limitations, or exclusions except where policy provisions are established by law or regulations binding upon either of the parties hereto or the underwriter on any such policies.

6.1.1.11 The City reserves the right to review the insurance requirements set forth during the effective period of the Agreement and to make reasonable adjustments to insurance coverage, limits, and exclusions when deemed necessary and prudent by the City based upon changes in statutory law, court decisions, the claims history of the industry or financial condition of the insurance company as well as the Grantee.

6.1.1.12 The Grantee shall not cause any insurance to be canceled nor permit any insurance to lapse during the term of the Agreement or as required in the Agreement.

6.1.1.13 The Grantee shall be responsible for premiums, deductibles and self-insured retentions, if any, stated in policies. All deductibles or self-insured retentions shall be disclosed on the Certificate of Insurance.

6.1.1.14 The Grantee shall endeavor to provide the City 30 calendar-days written notice of erosion of the aggregate limits below occurrence limits for all applicable coverages indicated within the Agreement.

6.1.2 **Specific Coverage Requirements.** The Grantee shall at a minimum carry insurance in the types and amounts indicated below for the duration of the Agreement, including extension options and hold over periods, and during any warranty period. These insurance coverages are required minimums and are not intended to limit the responsibility or liability of the Grantee.

6.1.2.1 **Commercial General Liability Insurance.** The minimum bodily injury and property damage per occurrence are \$500,000\* for coverages A (Bodily Injury and Property Damage) and B (Personal and Advertising Injuries). The policy shall contain the following provisions and endorsements.

6.1.2.1.1 Blanket contractual liability coverage for liability assumed under the Agreement and all other Agreements related to the project

- 6.1.2.1.2 Independent Grantee's Coverage
- 6.1.2.1.3 Products/Completed Operations Liability for the duration of the warranty period
- 6.1.2.1.4 Waiver of Subrogation, Endorsement CG 2404, or equivalent coverage
- 6.1.2.1.5 Thirty calendar-days' Notice of Cancellation, Endorsement CG 0205, or equivalent coverage
- 6.1.2.1.6 The "City of Austin" listed as an additional insured, Endorsement CG 2010, or equivalent coverage
- 6.1.2.1.7 If care of a child is provided outside the presence of a legal guardian or parent, Grantee shall provide coverage for sexual abuse and molestation for a minimum limit of \$500,000 per occurrence.
- 6.1.2.1.8 The policy shall be endorsed to cover injury to a child while the child is in the care of the Grantee or Subgrantee.

\* Supplemental Insurance Requirement. If eldercare, childcare, or housing for clients is provided, the required limits shall be \$1,000,000 per occurrence.

#### **6.1.2.2 Business Automobile Liability Insurance.**

Minimum limits: \$500,000 combined single limit per occurrence for all owned, hired and non-owned autos

- a. If any form of transportation for clients is provided, coverage for all owned, non-owned, and hired vehicles shall be maintained with a combined single limit of \$1,000,000 per occurrence.
- b. If no client transportation is provided but autos are used within the scope of work, and there are no agency owned vehicles, evidence of Personal Auto Policy coverage from each person using their auto may be provided. The following limits apply for personal auto insurance: \$100,000/\$300,000/\$100,000.

All policies shall contain the following endorsements:

- 6.1.2.2.1. Waiver of Subrogation, Endorsement CA 0444, or equivalent coverage
- 6.1.2.2.2. Thirty calendar-days' Notice of Cancellation, Endorsement CA 0244, or equivalent coverage
- 6.1.2.2.3 The "City of Austin" listed as an additional insured, Endorsement CA 2048, or equivalent coverage

**6.1.2.3 Worker's Compensation and Employers' Liability Insurance.** Coverage shall be consistent with statutory benefits outlined in the Texas Worker's Compensation Act (Section 401). The minimum policy limits for Employer's Liability are \$100,000 bodily injury each accident, \$500,000 bodily injury by disease policy limit and \$100,000 bodily injury by disease each employee. The policy shall contain the following provisions and endorsements:

- 6.1.2.3.1 The Grantee's policy shall apply to the State of Texas
- 6.1.2.3.2 Waiver of Subrogation, Form WC 420304, or equivalent coverage
- 6.1.2.3.3 Thirty calendar-days' Notice of Cancellation, Form WC 420601, or equivalent coverage



**6.1.2.4 Professional Liability Insurance.**

6.1.2.4.1 Grantee shall provide coverage at a minimum limit of \$500,000 per claim to pay on behalf of the assured all sums which the assured shall become legally obligated to pay as damages by reason of any negligent act, error, or omission arising out of the performance of professional services under this Agreement.

6.1.2.4.2 If coverage is written on a claims-made basis, the retroactive date shall be prior to or coincident with the date of the Agreement and the certificate of insurance shall state that the coverage is claims-made and indicate the retroactive date. This coverage shall be continuous and will be provided for 24 months following the completion of the Agreement.

**6.1.2.5 Blanket Crime Policy Insurance.** A Blanket Crime Policy shall be required with limits equal to or greater than the sum of all Agreement funds allocated by the City. Acceptance of alternative limits shall be approved by Risk Management.

**6.1.2.6 Directors and Officers Insurance.** Directors and Officers Insurance with a minimum of not less than \$1,000,000 per claim shall be in place for protection from claims arising out of negligent acts, errors or omissions for directors and officers while acting in their capacities as such. If coverage is underwritten on a claims-made basis, the retroactive date shall be coincident with or prior to the date of the Agreement and the certificate of insurance shall state that the coverage is claims made and the retroactive date. The coverage shall be continuous for the duration of the Agreement and for not less than 24 months following the end of the Agreement. Coverage, including renewals, shall have the same retroactive date as the original policy applicable to the Agreement or evidence of prior acts or an extended reporting period acceptable to the City may be provided. The Grantee shall, on at least an annual basis, provide the City with a Certificate of Insurance as evidence of such insurance.

**6.1.2.7 Property Insurance.** If the Agreement provides funding for the purchase of property or equipment the Grantee shall provide evidence of all risk property insurance for a value equivalent to the replacement cost of the property or equipment.

**6.1.2.8 Endorsements.** The specific insurance coverage endorsements specified above, or their equivalents, must be provided. In the event that endorsements, which are the equivalent of the required coverage, are proposed to be substituted for the required coverage, copies of the equivalent endorsements must be provided for the City's review and approval.

**6.1.2.9 Certificate.** The following statement must be shown on the Certificate of Insurance.

"The City of Austin is an Additional Insured on the general liability and the auto liability policies. A Waiver of Subrogation is issued in favor of the City of Austin for general liability, auto liability and workers compensation policies."

**6.2 Equal Opportunity.**

**6.2.1 Equal Employment Opportunity.** No Grantee or Grantee's agent shall engage in any discriminatory employment practice as defined in Chapter 5-4 of the City Code. No Bid submitted to the City shall be considered, nor any Purchase Order issued, or any Agreement awarded by the City unless the Grantee has executed and filed with the City Purchasing Office a current Non-Discrimination Certification. The Grantee shall sign and return the Non-Discrimination Certification attached hereto as Exhibit C. Non-compliance with Chapter 5-4 of the City Code may result in sanctions, including termination of the Agreement and the Grantee's suspension or debarment from participation on future City Agreements until deemed compliant with Chapter 5-4. Any Subgrantees

used in the performance of this Agreement and paid with City funds must comply with the same nondiscrimination requirements as the Grantee.

**6.2.2 Americans with Disabilities Act (ADA) Compliance.** No Grantee, or Grantee's agent shall engage in any discriminatory employment practice against individuals with disabilities as defined in the ADA.

- 6.3 Inspection of Premises.** The City has the right to enter Grantee's and Subgrantee's work facilities and premises during Grantee's regular work hours, and Grantee agrees to facilitate a review of the facilities upon reasonable request by the City.
- 6.4 Rights to Proposal and Contractual Material.** All material submitted by the Grantee to the City shall become property of the City upon receipt. Any portions of such material claimed by the Grantee to be proprietary must be clearly marked as such. Determination of the public nature of the material is subject to the Texas Public Information Act, Chapter 552, Texas Government Code.
- 6.5 Publications.** All published material and written reports submitted under the Agreement must be originally developed material unless otherwise specifically provided in the Agreement. When material not originally developed is included in a report in any form, the source shall be identified.

## **SECTION 7. WARRANTIES**

**7.1 Authority.** Each party warrants and represents to the other that the person signing this Agreement on its behalf is authorized to do so, that it has taken all action necessary to approve this Agreement, and that this Agreement is a lawful and binding obligation of the party.

**7.2 Performance Standards.** Grantee warrants and represents that all services provided under this Agreement shall be fully and timely performed in a good and workmanlike manner in accordance with generally accepted community standards and, if applicable, professional standards and practices. Grantee may not limit, exclude, or disclaim this warranty or any warranty implied by law, and any attempt to do so shall be without force or effect. If the Grantee is unable or unwilling to perform its services in accordance with the above standard as required by the City, then in addition to any other available remedy, the City may reduce the amount of services it may be required to purchase under the Agreement from the Grantee, and purchase conforming services from other sources. In such event, the Grantee shall pay to the City upon demand the increased cost, if any, incurred by the City to procure such services from another source. Grantee agrees to participate with City staff to update the performance measures.

## **SECTION 8. MISCELLANEOUS**

**8.1 Criminal Background Checks.** Grantee and Subgrantee(s) agree to perform a criminal background check on individuals providing direct client services in programs designed for children under 18 years of age, seniors 55 years of age and older, or persons with Intellectual and Developmental Disabilities (IDD). Grantee shall not assign or allow an individual to provide direct client service in programs designed for children under 18 years of age, seniors 55 years of age and older, or persons with IDD if the individual would be barred from contact under the applicable program rules established by Title 40 of the Texas Administrative Code.

**8.2 Compliance with Health, Safety, and Environmental Regulations.** The Grantee, its Subgrantees, and their respective employees, shall comply fully with all applicable federal, state, and local health, safety, and environmental laws, ordinances, rules and regulations in the performance of the services, including but not limited to those promulgated by the City and by the Occupational Safety and Health Administration (OSHA). In case of conflict, the most stringent safety requirement shall govern. The Grantee shall indemnify and hold the City harmless from and against all claims, demands, suits, actions, judgments, fines, penalties and liability of every kind arising from the breach of the Grantee's obligations under this paragraph.



8.2.1 The Grantee or Subgrantee(s) seeking an exemption for a food enterprise permit fee must present this signed and executed social services Agreement upon request to the City. (Source: City of Austin Ordinance 20051201-013)

**8.3 Stop Work Notice.** The City may issue an immediate Stop Work Notice in the event the Grantee is observed performing in a manner that the City reasonably believes is in violation of federal, state, or local guidelines, or in a manner that is determined by the City to be unsafe to either life or property. Upon notification, the Grantee will cease all work until notified by the City that the violation or unsafe condition has been corrected. The Grantee shall be liable for all costs incurred by the City as a result of the issuance of such Stop Work Notice.

**8.4 Indemnity.**

**8.4.1 Definitions:**

8.4.1.1 "Indemnified Claims" shall include any and all claims, demands, suits, causes of action, judgments and liability of every character, type or description, including all reasonable costs and expenses of litigation, mediation or other alternate dispute resolution mechanism, including attorney and other professional fees for:

8.4.1.1.1 damage to or loss of the property of any person (including, but not limited to the City, the Grantee, their respective agents, officers, employees and Subgrantees; the officers, agents, and employees of such Subgrantees; and third parties); and/or;

8.4.1.1.2 death, bodily injury, illness, disease, worker's compensation, loss of services, or loss of income or wages to any person (including but not limited to the agents, officers and employees of the City, the Grantee, the Grantee's Subgrantees, and third parties),

8.4.1.2 "Fault" shall include the sale of defective or non-conforming deliverables, negligence, willful misconduct, or a breach of any legally imposed strict liability standard.

8.4.2 THE GRANTEE SHALL DEFEND (AT THE OPTION OF THE CITY), INDEMNIFY, AND HOLD THE CITY, ITS SUCCESSORS, ASSIGNS, OFFICERS, EMPLOYEES AND ELECTED OFFICIALS HARMLESS FROM AND AGAINST ALL INDEMNIFIED CLAIMS DIRECTLY ARISING OUT OF, INCIDENT TO, CONCERNING OR RESULTING FROM THE FAULT OF THE GRANTEE, OR THE GRANTEE'S AGENTS, EMPLOYEES OR SUBGRANTEES, IN THE PERFORMANCE OF THE GRANTEE'S OBLIGATIONS UNDER THE AGREEMENT. NOTHING HEREIN SHALL BE DEEMED TO LIMIT THE RIGHTS OF THE CITY OR THE GRANTEE (INCLUDING, BUT NOT LIMITED TO, THE RIGHT TO SEEK CONTRIBUTION) AGAINST ANY THIRD PARTY WHO MAY BE LIABLE FOR AN INDEMNIFIED CLAIM.

**8.5 Claims.** If any claim, demand, suit, or other action is asserted against the Grantee which arises under or concerns the Agreement, or which could have a material adverse effect on the Grantee's ability to perform hereunder, the Grantee shall give written notice thereof to the City within 10 calendar days after receipt of notice by the Grantee. Such notice to the City shall state the date of notification of any such claim, demand, suit, or other action; the names and addresses of the claimant(s); the basis thereof; and the name of each person against whom such claim is being asserted. Such notice shall be delivered personally or by mail and shall be sent to the City and to the Austin City Attorney. Personal delivery to the City Attorney shall be to City Hall, 301 West 2<sup>nd</sup> Street, 4<sup>th</sup> Floor, Austin, Texas 78701, and mail delivery shall be to P.O. Box 1088, Austin, Texas 78767.

**8.6 Business Continuity.** Grantee warrants that it has adopted a business continuity plan that describes how Grantee will continue to provide services in the event of an emergency or other unforeseen event, and agrees to maintain the plan on file for review by the City. Grantee shall provide a copy of the plan to the City's Agreement Manager upon request at any time during the term of this Agreement, and the requested information regarding the Business Continuity Plan shall appear in the annual Administrative and Fiscal Review document.

8.6.1 Grantee agrees to participate in the City's Emergency Preparedness and Response Plan and other disaster planning processes. Grantee participation includes assisting the City to provide disaster response and recovery assistance to individuals and families impacted by manmade or natural disasters.

8.7 **Notices.** Unless otherwise specified, all notices, requests, or other communications required or appropriate to be given under the Agreement shall be in writing and shall be deemed delivered 3 business days after postmarked if sent by U.S. Postal Service Certified or Registered Mail, Return Receipt Requested. Notices delivered by other means shall be deemed delivered upon receipt by the addressee. Routine communications may be made by first class mail, email, or other commercially accepted means. Notices to the City and the Grantee shall be addressed as follows:

To the City:	To the Grantee:	With copy to:
City of Austin Austin Public Health Administrative Services Division	Community Action, Inc. of Central Texas	City of Austin Austin Public Health
ATTN: Kymberley Maddox, Assistant Director	ATTN: Carole Belver, Executive Director	ATTN: Stephanie Hayden, Acting Director
7201 Levander Loop, Bldg. E Austin, TX 78702	101 Uhland Road, Suite 107 Sam Marcos, TX 78666	7201 Levander Loop, Bldg. E Austin, TX 78702

8.8 **Confidentiality.** In order to provide the deliverables to the City, Grantee may require access to certain of the City's and/or its licensors' confidential information (including inventions, employee information, trade secrets, confidential know-how, confidential business information, and other information which the City or its licensors consider confidential) (collectively, "Confidential Information"). Grantee acknowledges and agrees that the Confidential Information is the valuable property of the City and/or its licensors and any unauthorized use, disclosure, dissemination, or other release of the Confidential Information will substantially injure the City and/or its licensors. The Grantee (including its employees, Subgrantees, agents, or representatives) agrees that it will maintain the Confidential Information in strict confidence and shall not disclose, disseminate, copy, divulge, recreate, or otherwise use the Confidential Information without the prior written consent of the City or in a manner not expressly permitted under this Agreement, unless the Confidential Information is required to be disclosed by law or an order of any court or other governmental authority with proper jurisdiction, provided the Grantee promptly notifies the City before disclosing such information so as to permit the City reasonable time to seek an appropriate protective order. The Grantee agrees to use protective measures no less stringent than the Grantee uses within its own business to protect its own most valuable information, which protective measures shall under all circumstances be at least reasonable measures to ensure the continued confidentiality of the Confidential Information.

8.9 **Advertising.** Where such action is appropriate as determined by the City, Grantee shall publicize the activities conducted by the Grantee under this Agreement. Any news release, sign, brochure, or other advertising medium including websites disseminating information prepared or distributed by or for the Grantee shall recognize the City as a funding source and include a statement that indicates that the information presented does not officially represent the opinion or policy position of the City.

8.10 **No Contingent Fees.** The Grantee warrants that no person or selling agency has been employed or retained to solicit or secure the Agreement upon any agreement or understanding for commission, percentage, brokerage, or contingent fee, excepting bona fide employees of bona fide established commercial or selling agencies maintained by the Grantee for the purpose of securing business. For breach or violation of this warranty, the City shall have the right, in addition to any other remedy available, to cancel the Agreement without liability and to deduct from any amounts owed to the Grantee, or otherwise recover, the full amount of such commission, percentage, brokerage or contingent fee.

8.11 **Gratuities.** The City may, by written notice to the Grantee, cancel the Agreement without liability if it is determined by the City that gratuities were offered or given by the Grantee or any agent or representative of the Grantee to any officer or employee of the City with a view toward securing the Agreement or securing favorable treatment with respect to the awarding or amending or the making of any determinations with



respect to the performing of such Agreement. In the event the Agreement is canceled by the City pursuant to this provision, the City shall be entitled, in addition to any other rights and remedies, to recover or withhold the amount of the cost incurred by the Grantee in providing such gratuities.

**8.12 Prohibition Against Personal Interest in Agreements.** No officer, employee, independent consultant, or elected official of the City who is involved in the development, evaluation, or decision-making process of the performance of any solicitation shall have a financial interest, direct or indirect, in the Agreement resulting from that solicitation. Any willful violation of this Section shall constitute impropriety in office, and any officer or employee guilty thereof shall be subject to disciplinary action up to and including dismissal. Any violation of this provision, with the knowledge, expressed or implied, of the Grantee shall render the Agreement voidable by the City.

**8.13 Independent Grantee.** The Agreement shall not be construed as creating an employer/employee relationship, a partnership, or a joint venture. The Grantee's services shall be those of an independent Grantee. The Grantee agrees and understands that the Agreement does not grant any rights or privileges established for employees of the City.

**8.14 Assignment-Delegation.** The Agreement shall be binding upon and inure to the benefit of the City and the Grantee and their respective successors and assigns, provided however, that no right or interest in the Agreement shall be assigned and no obligation shall be delegated by the Grantee without the prior written consent of the City. Any attempted assignment or delegation by the Grantee shall be void unless made in conformity with this paragraph. The Agreement is not intended to confer rights or benefits on any person, firm or entity not a party hereto; it being the intention of the parties that there be no third party beneficiaries to the Agreement.

**8.15 Waiver.** No claim or right arising out of a breach of the Agreement can be discharged in whole or in part by a waiver or renunciation of the claim or right unless the waiver or renunciation is supported by consideration and is in writing signed by the aggrieved party. No waiver by either the Grantee or the City of any one or more events of default by the other party shall operate as, or be construed to be, a permanent waiver of any rights or obligations under the Agreement, or an express or implied acceptance of any other existing or future default or defaults, whether of a similar or different character.

**8.16 Modifications.** The Agreement can be modified or amended only by a written, signed agreement by both parties. No pre-printed or similar terms on any Grantee invoice, order, or other document shall have any force or effect to change the terms, covenants, and conditions of the Agreement.

**8.17 Interpretation.** The Agreement is intended by the parties as a final, complete and exclusive statement of the terms of their agreement. No course of prior dealing between the parties or course of performance or usage of the trade shall be relevant to supplement or explain any term used in the Agreement. Although the Agreement may have been substantially drafted by one party, it is the intent of the parties that all provisions be construed in a manner to be fair to both parties, reading no provisions more strictly against one party or the other. Whenever a term defined by the Uniform Commercial Code, as enacted by the State of Texas, is used in the Agreement, the UCC definition shall control, unless otherwise defined in the Agreement.

**8.18 Dispute Resolution.**

8.18.1 If a dispute arises out of or relates to the Agreement, or the breach thereof, the parties agree to negotiate prior to prosecuting a suit for damages. However, this section does not prohibit the filing of a lawsuit to toll the running of a statute of limitations or to seek injunctive relief. Either party may make a written request for a meeting between representatives of each party within 14 calendar days after receipt of the request or such later period as agreed by the parties. Each party shall include, at a minimum, 1 senior level individual with decision-making authority regarding the dispute. The purpose of this and any subsequent meeting is to attempt in good faith to negotiate a resolution of the dispute. If, within 30 calendar days after such meeting, the parties have not succeeded in negotiating a resolution of the dispute, they will proceed directly to mediation as described below. Negotiation may be waived by a written agreement signed by both parties, in which event the parties may proceed directly to mediation as described below.

8.18.2 If the efforts to resolve the dispute through negotiation fail, or the parties waive the negotiation process, the parties may select, within 30 calendar days, a mediator trained in mediation skills to assist with resolution of the dispute. Should they choose this option, the City and the Grantee agree to act in good faith in the selection of the mediator and to give consideration to qualified individuals nominated to act as mediator. Nothing in the Agreement prevents the parties from relying on the skills of a person who is trained in the subject matter of the dispute or an Agreement interpretation expert. If the parties fail to agree on a mediator within 30 calendar days of initiation of the mediation process, the mediator shall be selected by the Travis County Dispute Resolution Center (DRC). The parties agree to participate in mediation in good faith for up to 30 calendar days from the date of the first mediation session. The City and the Grantee will share the mediator's fees equally and the parties will bear their own costs of participation such as fees for any consultants or attorneys they may utilize to represent them or otherwise assist them in the mediation.

**8.19 Minority and Women Owned Business Enterprise (MBE/WBE) Procurement Program**

MBE/WBE goals do not apply to this Agreement.

**8.20 Living Wage Policy**

[Reserved]

**8.21 Subgrantees.**

8.21.1 Work performed for the Grantee by a Subgrantee shall be pursuant to a written Agreement between the Grantee and Subgrantee. The terms of the Subagreement may not conflict with the terms of the Agreement, and shall contain provisions that:

8.21.1.1 require that all deliverables to be provided by the Subgrantee be provided in strict accordance with the provisions, specifications and terms of the Agreement. The City may require specific documentation to confirm Subgrantee compliance with all aspects of this Agreement.

8.21.1.2 prohibit the Subgrantee from further subcontracting any portion of the Agreement without the prior written consent of the City and the Grantee. The City may require, as a condition to such further subcontracting, that the Subgrantee post a payment bond in form, substance and amount acceptable to the City;

8.21.1.3 require Subgrantees to submit all requests for payment and applications for payments, including any claims for additional payments, damages or otherwise, to the Grantee in sufficient time to enable the Grantee to include the same with its invoice or application for payment to the City in accordance with the terms of the Agreement;

8.21.1.4 require that all Subgrantees obtain and maintain, throughout the term of their Subagreement, insurance in the type required by this Agreement, and in amounts appropriate for the amount of the Subagreement, with the City being a named insured as its interest shall appear;

8.21.1.5 require that the Subgrantees indemnify and hold the City harmless to the same extent as the Grantee is required to indemnify the City; and

8.21.1.6 maintain and make available to the City, upon request, Certificates of Insurance for all Subgrantees.

8.21.2 The Grantee shall be fully responsible to the City for all acts and omissions of the Subgrantees just as the Grantee is responsible for the Grantee's own acts and omissions. Nothing in the Agreement shall create for the benefit of any such Subgrantee any contractual relationship between the City and any such Subgrantee, nor shall it create any obligation on the part of the City to pay or to



see to the payment of any moneys due any such Subgrantee except as may otherwise be required by law.

8.21.3 The Grantee shall pay each Subgrantee its appropriate share of payments made to the Grantee not later than 10 days after receipt of payment from the City.

8.22 **Jurisdiction and Venue.** The Agreement is made under and shall be governed by the laws of the State of Texas, including, when applicable, the Uniform Commercial Code as adopted in Texas, V.T.C.A., Bus. & Comm. Code, Chapter 1, excluding any rule or principle that would refer to and apply the substantive law of another state or jurisdiction. All issues arising from this Agreement shall be resolved in the courts of Travis County, Texas and the parties agree to submit to the exclusive personal jurisdiction of such courts. The foregoing, however, shall not be construed or interpreted to limit or restrict the right or ability of the City to seek and secure injunctive relief from any competent authority as contemplated herein.

8.23 **Invalidity.** The invalidity, illegality, or unenforceability of any provision of the Agreement shall in no way affect the validity or enforceability of any other portion or provision of the Agreement. Any void provision shall be deemed severed from the Agreement and the balance of the Agreement shall be construed and enforced as if the Agreement did not contain the particular portion or provision held to be void. The parties further agree to reform the Agreement to replace any stricken provision with a valid provision that comes as close as possible to the intent of the stricken provision. The provisions of this Section shall not prevent this entire Agreement from being void should a provision which is the essence of the Agreement be determined to be void.

8.24 **Holidays.** The following holidays are observed by the City:

<u>HOLIDAY</u>	<u>DATE OBSERVED</u>
New Year's Day	January 1
Martin Luther King, Jr's Birthday	Third Monday in January
President's Day	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Veteran's Day	November 11
Thanksgiving Day	Fourth Thursday in November
Friday after Thanksgiving	Friday after Thanksgiving
Christmas Eve	December 24
Christmas Day	December 25

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

8.25 **Survivability of Obligations.** All provisions of the Agreement that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Agreement.

8.26 **Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from federal, state, or City Agreements. By accepting an Agreement with the City, the Grantee certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

**8.27 Public Information Act.** Grantee acknowledges that the City is required to comply with Chapter 552 of the Texas Government Code (Public Information Act). Under the Public Information Act, this Agreement and all related information within the City's possession or to which the City has access are presumed to be public and will be released unless the information is subject to an exception described in the Public Information Act.

**8.28 HIPAA Standards.** As applicable, Grantee and Subgrantees are required to develop and maintain administrative safeguards to ensure the confidentiality of all protected client information, for both electronic and non-electronic records, as established in the Health Insurance Portability and Accountability Act (HIPAA) Standards CFR 160 and 164, and to comply with all other applicable federal, state, and local laws and policies applicable to the confidentiality of protected client information. Grantee must maintain HIPAA-compliant Business Associate agreements with each entity with which it may share any protected client information.

**8.28.1 Business Associate Agreement.** If performance of this Agreement involves the use or disclosure of Protected Health Information (PHI), as that term is defined in 45 C.F.R. § 160.103, then Grantee acknowledges and agrees to comply with the terms and conditions contained in the Business Associate Agreement, attached as Exhibit E.

**8.29 Political and Sectarian Activity.** No portion of the funds received by the Grantee under this Agreement shall be used for any political activity (including, but not limited to, any activity to further the election or defeat of any candidate for public office) or any activity undertaken to influence the passage, defeat, or final content of legislation; or for any sectarian or religious purposes.

**8.30 Culturally and Linguistically Appropriate Standards (CLAS).** The City is committed to providing effective, equitable, understandable and respectful quality care and services that are responsive to diverse cultural beliefs and practices, preferred languages, health literacy, and other communication needs. This commitment applies to services provided directly by the City as well as services provided through its Grantees. Grantee and its Subgrantees agree to implement processes and services in a manner that is culturally and linguistically appropriate and competent. Guidance on adopting such standards and practices are available at the U.S. Department of Health and Human Services Office of Minority Health's website at: <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=1&lvlid=6>.

In some instances, failure to provide language assistance services may have the effect of discriminating against persons on the basis of their natural origin. Guidelines for serving individuals with Limited English Proficiency (LEP) are available at <https://www.lep.gov/faqs/faqs.html>.

In witness whereof, the parties have caused duly authorized representatives to execute this Agreement on the dates set forth below.

COMMUNITY ACTION, INC. OF CENTRAL  
TEXAS

Signature: Carole Belver

Name: Carole Belver  
Printed Name

Title: Executive Director

Date: April 4, 2017

CITY OF AUSTIN

Signature: Marty James

Name: MARTY JAMES  
PURCHASING OFFICE

Date: 04-24-2017



## **EXHIBITS**

### **Exhibit A – Program Forms**

- A.1.1 – Program Work Statement for HIV Contract**
- A.1.2 – Program Work Statement By Service Category**
- A.2 – Program Performance for HIV Service Category**

### **Exhibit B – Program Budget Forms**

- B.1.1 – Program Budget for HIV Direct Services**
- B.1.2 – Program Budget for HIV Administrative Services**
- B.1.3 – Program Budget for HIV Combined Services and Narrative**

### **Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**

### **Exhibit D – Part A Required Reports**

### **Exhibit E – Modifications to the Standard APH Agreement**

### **Exhibit F – Business Associate Agreement**

## ***Program Work Statement For HIV Contract***

***Period Start Date 3/1/2017***

***Period End Date 2/28/2018***

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### ***Client Access***

Community Action, Inc. will accept referrals from local social service agencies, medical providers, and health departments, other HIV case management agencies, or client self-referrals. In order to ensure that other community agencies are aware of the services provided by Community Action, Inc., case managers will attend HIV service provider meetings and community interagency meetings to provide information on how to refer clients to the agency for services. Part A-CAI staff will work with local agencies, such as housing authorities, community clinics, hospitals, and drug treatment centers to provide them with information about the agency and the process to refer a client for HIV case management services. Part A-CAI staff will also educate hospitals, local clinics, drug treatment centers, incarceration facilities, the Gary Job Corps Center, and other social service agencies by speaking to these groups. Information such as how to refer an HIV+ individual to RASP, what documentation will be required, Part A-CAI services, and the Part A-CAI service area will be provided. Part A-CAI staff will also leave brochures for each of the agencies to display.

### ***Service Linkage, Referral, and Collaboration***

The linkage of HIV positive individuals in the rural area to medical care is the primary objective of Part A-CAI. When a client initially contacts the agency, a brief assessment will be conducted over the telephone. If the client is not in medical care, the client will be referred to the most appropriate clinic or primary medical care provider. In most cases, this provider will be the David Powell Clinic (DPC). The case manager will assist the client in completing the DPC intake and submit the intake to DPC. This allows the client to complete the DPC intake at the same time of the case management intake allowing for the client to be able to be seen for a lab appointment at DPC instead of having to wait for an appointment with a DPC social worker to complete the intake process.

Since most RASP clients live in the rural area and do not have access to reliable transportation, the agency will coordinate transportation to and from medical appointments to ensure the client stays in medical care.

For outside resources, the case manager develops working relationships with other social services providers. The case manager will continue to routinely work with three HIV clinics which include DPC, Red River Family Practice, and the Blackstock Clinic. RASP case managers also have working relationships with several case management agencies, health and human service providers, pharmacies, landlords, and local utility providers. These relationships are stable and change little from year to year. By having these continued working relationships, case managers are able to coordinate services and reduce duplication of services between agencies. Case managers, with their client's authorization, are able to obtain verification of services from other Ryan White funding agencies through the use of the ARIES database. RASP case managers will work diligently to connect clients with resources located in Austin and to develop resources in their local communities. The RASP program will collaborate with local organizations available in the service area to meet client's needs.

RASP case managers will refer clients to several agencies and medical providers. These other providers include medical providers, mental health counselors, food bank programs, utility assistance programs, housing programs, other social service programs. The agency will maintain up to date Memorandums of Understanding (MOU) with each of the agencies that referrals are made to.

All referrals will be entered in ARIES and will be followed up within five working days of the service being provided. Case managers will also document whether clients successfully followed through on their referrals on the agency's Referral Form which is located in the case management file. The hard copy of the Referral Form will match what is entered into ARIES.

### ***Client Input and Involvement***

All clients will actively participate in their care plan and work with the case manager to develop realistic goals. Case managers are the client's advocates in obtaining quality care. All active clients will have the opportunity to provide their input into the process of continued improvement through the use of the annual client satisfaction survey. All clients who receive services during the calendar year and have agreed to receive mail from Community Action, Inc. will be mailed a client satisfaction survey and are asked to return it in a pre-addressed, postage paid envelope. The report of the survey results are compiled by the Data Manager and shared with the staff and the Quality Management Team to develop any necessary action plans to address any expressed concerns. Clients can also place anonymous suggestions, complaints, or compliments in a

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## ***Program Work Statement For HIV Contract***

***Period Start Date*** 3/1/2017

***Period End Date*** 2/28/2018

suggestion box located in each case manager's office. The box is checked frequently and concerns are addressed during staff meetings to develop corrective action plans.

### ***Cultural Competency***

Service activities will be delivered so that cultural and language differences do not constitute a barrier to services in full compliance with the National Standards on Culturally and Linguistically Appropriate Services (CLAS) described at: <http://minorityhealth.hhs.gov/templates/browse.aspx?lvl=2&lvlID=15>.

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## **Program Work Statement By Service Category**

**Period Start Date** 3/1/2017

**Period End Date** 2/28/2018

**HIV Service Category** SS-Case Management Non-medical

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### **Client Eligibility**

Clients must be HIV positive to be eligible for Community Action services provided by the Part A-CAI. Part A-CAI staff members will obtain at least one of the following documentations as proof of a client's HIV positive status: a positive HIV Western Blot lab report, a lab report indicating a detectable Viral Load, written verification from a physician, or use of the agency's Medical Certification Form. Proof of HIV diagnosis is obtained once at the time of the client's intake.

Other eligibility documents include photo ID, proof of residency, income (if any), and insurance (if any). As proof of residency clients can provide a copy of the client's current driver's license, utility bill in the client's name, or a copy of the client's rent/lease/mortgage agreement. Clients must provide proof of income in the form of a check stub, award letter, or sign the agency's "Statement of No Income" form. Clients and case managers will also complete the MAGI or Mock MAGI documents. In order to verify a client's insurance, clients must provide a copy of their insurance card (private, Medicare, Medicaid) or sign the agency's "Statement of No Medical Coverage" form. Clients will be reassessed every six months to determine continued eligibility. All of these eligibility documents can be found in the client's case management file under the tab labeled "Eligibility Documents."

### **Target Populations**

The Part A Non-Medical Case Manager will provide case management services to persons living with HIV/AIDS who meet eligibility requirements and who reside in the counties of Hays, Caldwell, Bastrop, and Williamson.

### **Service Category Activities**

#### **Service activities linked to Budget Justification**

Provides case management, coordination of services including linkage to medical providers for clients, transportation to medical visits, referrals to other services and assistance with applying for benefits.

#### **Frequency of these service activities**

These activities are conducted on a daily basis by the non-medical case manager.

#### **Location(s) of these service activities**

These activities can be conducted at the non-medical case manager's office located in San Marcos or Georgetown, TX or if the client is unavailable to come into the office, the non-medical case manager will conduct a home and/or hospital visit.

### **Staffing**

Richard Perez will provide non-medical case management services for the target population listed.

Richard Perez holds a Bachelors of Kinesiology. Richard been with the agency for seven years. During those years, he has worked closely with Community Action clients in the agency's adult education program and as a case manager in the CEAP program. CEAP is a community services program that provides assistance to low-income families and individuals who seek to enhance their quality of life or achieve economic self-sufficiency.

Currently, Richard Perez works with clients to assess needs and ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy. He develops a realistic care plan with clients that include short and long term goals. He locates exiting resources in the rural community and provides information and referrals for resources to clients and their families. He also conducts routine follow-up home/hospital visits and telephone contact to monitor and update the care plan as needed. When needed, she coordinates transpiration for clients to medical and social service appointments. Richard promotes awareness and sensitivity to the presence and needs of clients among rural social service agencies and ensures that client access to existing rural services does not compromise their privacy.

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## **Program Work Statement By Service Category**

**Period Start Date** 3/1/2017

**Period End Date** 2/28/2018

### **HIV Service Category SS-Case Management Non-medical**

In addition to non-medical case management, Donna Johnson and Bertie Hayes will provide less intense, patient navigation services for the target population listed. Ms. Johnson holds a Bachelors of Science degree in Psychology. She has been with the agency providing case management to HIV positive individuals since 2010. Ms. Hayes has been with the agency since 2010 and holds a High School Diploma.

Currently, Donna Johnson works with clients to assess needs and ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy. She develops a realistic care plan with clients that include short and long term goals. She locates exiting resources in the rural community and provides information and referrals for resources to clients and their families. She also conducts routine follow-up home/hospital visits and telephone contact to monitor and update the care plan as needed. When needed, she coordinates transportation for clients to medical and social service appointments. Donna promotes awareness and sensitivity to the presence and needs of clients among rural social service agencies and ensures that client access to existing rural services does not compromise their privacy.

Bertie Hayes works with clients to assess needs and ensure that all interventions promote client empowerment, self-sufficiency and self-advocacy. She also works closely with the client's case manager to ensure needs are met and new needs are addressed. She locates exiting resources in the rural community and provides information and referrals for resources to clients and their families. She maintains contact with clients via telephone and face to face office visits. When needed, she coordinates transportation for clients to medical and social service appointments. All of these services are completed in a manner as to ensure confidentiality and privacy.

### **Quality Management**

Data collected from the output and outcome measures will be used to evaluate the current case management program and will be used to assist with the quality improvement efforts at the individual and program level. This data will provide critical information to ensure that the program and clients are able to meet their goals. For example, if case managers identify certain trends with clients not meeting goals, they can discuss with the clients what barriers exist. Case managers can help clients find alternatives or solutions to overcoming any particular barrier. Once the client is able to overcome these barriers, the goals can be met.

### **HRSA/HAB Ryan White Part A Program Monitoring Standards**

Not Applicable (Overwrite if Applies)

**Created:** 2/24/2017 10:21:00 AM **Last Modified:** 4/4/2017 10:39:00 AM

**Program Performance for HIV Service Category**

Period Performance Start 3/1/2017

Period Performance End 2/28/2018

**Outputs****HIV Service Category SS-Case Management Non-medical****Period Goal**

<b>Output Measure Description</b>		<b>Initial Adjusted Target</b>		
<b>How Data Is Compiled</b>				
OP1	<p>Number of UNITS of Non-Medical case management services provided to eligible Part A clients during the term period</p> <p>Case managers will document case notes in ARIES and enter corresponding units of service in the Services Tab of ARIES. Copies of the case notes will be printed monthly and placed in the client's paper chart. The Coordinator of Case Management Services will use ARIES to run a report to determine how many units of services were provided monthly.</p>	575		575
OP2	<p>Number of unduplicated clients receiving Non-Medical Case Management services. For the initial Part A award amount, CAI expects to serve about 25 eligible clients, with an approximate breakdown as follows:</p> <p>a.About 20 Continuing clients will be served; and</p> <p>b.about 5 New clients will be served</p> <p>Case managers will enter new client intakes in ARIES within five days of initial contact. The Coordinator of Case Management Services will use ARIES to run a report to determine how many new clients were served and how many clients were continuing.</p>	25		25

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**Program Performance for HIV Service Category**

Period Performance Start 3/1/2017

Period Performance End 2/28/2018

**Outcomes****HIV Service Category SS-Case Management Non-medical**

<b>Outcome Measure Description</b>		<b>Period Goal</b>		
<b>What Data Is Collected</b>				
<b>How Data Is Compiled</b>				
<b>When Data Is Evaluated</b>		<b>Numerator</b>	<b>Denominator</b>	<b>Target Percent</b>
OC1	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had a non-medical case management service plan developed and/or updated two or more times in the measurement year.	20	25	80.00

**Client Exclusions:**

1. Non-medical case management clients who initiated non-medical case management services in the last six months of the measurement year.
2. Non-medical case management clients who were discharged from non-medical case management services prior to six months of service in the measurement year.

The Coordinator of Case Management Services (CCMS) and case managers are responsible for collecting the data required to effectively assess and report on this measure. The specific data elements and values that will be collected include:

1. The CCMS will review case notes on a weekly basis.
  2. Follow up to objectives listed in each client's care plan will be reviewed.
  3. Case managers will meet with clients at a minimum of two times each year to evaluate and update care plans.
1. Case managers will utilize the ARIES database to document the plan of care and the referral and follow-up process.
  2. The CCMS will review case notes weekly to ensure that any needs are entered in the client's care plan.
  3. A copy of the care plan will be placed in the client's paper chart.

The CCMS will conduct quarterly ARIES reports and chart reviews to ensure that the objectives outlined in the plan of care are in fact being addressed and documented.

OC2	Percentage of non-medical case management clients, regardless of age, with a diagnosis of HIV who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between medical visits.	21	25	84.00
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Numerator: Number of non-medical case management clients in the denominator who had at least one medical visit in each 6-month period of the 12-month measurement period with a minimum of 60 days between first medical visit in the prior 6-month period and the last medical visit in the subsequent 6-month period

Denominator: Number of non-medical case management clients, regardless of age, with a diagnosis of HIV with at least

Created: 2/24/2017 10:17:00 AM Last Modified:

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## ***Program Performance for HIV Service Category***

***Period Performance Start*** 3/1/2017

***Period Performance End*** 2/28/2018

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one medical visit in the first 6 months of the 12-month measurement period

Client Exclusions: Clients who died at any time during the 12-month measurement period

Part A-CAI case managers are responsible for collecting the data required to effect assess and report on this measure.

1. Case managers will obtain the number of clients who are receiving case management services.
2. Case managers will obtain the number of clients who had two or more medical visits.

1. At the time of intake, case managers will secure medical records from the client's primary HIV care provider.

2. Case managers will also use the ARIES database for "shared" clients to determine when their last medial appointment was held.

3. Case managers will request medical records every 6 months for clients who are not "shared" or who are seen by a private physician.

1. Twice a year, case managers will be able to use the ARIES database for clients who are "shared" at DPC to determine when the client attended a medical visit.

2. Twice a year, for those clients who are not shared or are seen by a private physician, case managers will obtain medical records.



**Program Budget for HIV - Direct Services**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	15,679.00	5,799.00	0.00	0.00	0.00	0.00	0.00	<b>21,478.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>15,679.00</b>	<b>5,799.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>21,478.00</b>

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**Program Budget for HIV - Administrative Services**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<b>Service Category</b>	<b>Personnel</b>	<b>Fringe</b>	<b>Travel</b>	<b>Equipment</b>	<b>Supplies</b>	<b>Contractuals</b>	<b>Other</b>	<b>Subtotal</b>
SS-Case Management Non-medical	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

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**Program Budget for HIV - Combined Services and Narrative**

Program Start Date 3/1/2017

Program End Date 2/28/2018

<i>Service Category</i>	<i>Personnel</i>	<i>Fringe</i>	<i>Travel</i>	<i>Equipment</i>	<i>Supplies</i>	<i>Contractuals</i>	<i>Other</i>	<i>Subtotal</i>
SS-Case Management Non-medical	15,679.00	5,799.00	0.00	0.00	0.00	0.00	0.00	<b>21,478.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
Reserved for Future Use	0.00	0.00	0.00	0.00	0.00	0.00	0.00	<b>0.00</b>
<b>Subtotal</b>	<b>15,679.00</b>	<b>5,799.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>21,478.00</b>

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## ***Program Budget for HIV - Combined Services and Narrative***

### ***Service Category***

### ***Budget Narrative***

SS-Case Management Non-medical

PERSONNEL Salaries and FRINGE BENEFITS in amounts corresponding with the partial award, for two Part A staff positions: Case Manager and Patient Navigator

***Created:*** 2/24/2017 9:40:00 AM ***Last Modified:*** 3/9/2017 9:10:00 AM



**City of Austin, Texas  
EQUAL EMPLOYMENT/FAIR HOUSING OFFICE  
NON-DISCRIMINATION CERTIFICATION**

**City of Austin, Texas  
Human Rights Commission**

To: City of Austin, Texas, ("OWNER")

I hereby certify that our firm conforms to the Code of the City of Austin, Section 5-4-2 as reiterated below:  
Chapter 5-4. Discrimination in Employment by City Contractors.

**Sec. 4-2 Discriminatory Employment Practices Prohibited.** As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations and agrees:

- (B) (1) Not to engage in any discriminatory employment practice defined in this chapter.
- (2) To take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without discrimination being practiced against them as defined in this chapter. Such affirmative action shall include, but not be limited to: all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising; selection for training and apprenticeship, rates of pay or other form of compensation, and layoff or termination.
- (3) To post in conspicuous places, available to employees and applicants for employment, notices to be provided by OWNER setting forth the provisions of this chapter.
- (4) To state in all solicitations or advertisements for employees placed by or on behalf of the Contractor, that all qualified applicants will receive consideration for employment without regard to race, creed, color, religion, national origin, sexual orientation, gender identity, disability, veteran status, sex or age.
- (5) To obtain a written statement from any labor union or labor organization furnishing labor or service to Contractors in which said union or organization has agreed not to engage in any discriminatory employment practices as defined in this chapter and to take affirmative action to implement policies and provisions of this chapter.
- (6) To cooperate fully with OWNER's Human Rights Commission in connection with any investigation or conciliation effort of said Human Rights Commission to ensure that the purpose of the provisions against discriminatory employment practices are being carried out.
- (7) To require compliance with provisions of this chapter by all subcontractors having fifteen or more employees who hold any subcontract providing for the expenditure of \$2,000 or more in connection with any contract with OWNER subject to the terms of this chapter.

For the purposes of this Offer and any resulting Contract, Contractor adopts the provisions of the City's Minimum Standard Nondiscrimination Policy set forth below.

**City of Austin  
Minimum Standard Non-Discrimination in Employment Policy:**

*As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations.*

*The Contractor will not discriminate against any applicant or employee based on race, creed, color, national origin, sex, age, religion, veteran status, gender identity, disability, or sexual orientation. This policy covers all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising, selection for training and apprenticeship, rates of pay or other forms of compensation, and layoff or termination.*

*Further, employees who experience discrimination, sexual harassment, or another form of harassment should immediately report it to their supervisor. If this is not a suitable avenue for*

*addressing their complaint, employees are advised to contact another member of management or their human resources representative. No employee shall be discriminated against, harassed, intimidated, nor suffer any reprisal as a result of reporting a violation of this policy. Furthermore, any employee, supervisor, or manager who becomes aware of any such discrimination or harassment should immediately report it to executive management or the human resources office to ensure that such conduct does not continue.*

*Contractor agrees that to the extent of any inconsistency, omission, or conflict with its current non-discrimination employment policy, the Contractor has expressly adopted the provisions of the City's Minimum Non-Discrimination Policy contained in Section 5-4-2 of the City Code and set forth above, as the Contractor's Non-Discrimination Policy or as an amendment to such Policy and such provisions are intended to not only supplement the Contractor's policy, but will also supersede the Contractor's policy to the extent of any conflict.*

UPON CONTRACT AWARD, THE CONTRACTOR SHALL PROVIDE A COPY TO THE CITY OF THE CONTRACTOR'S NON-DISCRIMINATION POLICY ON COMPANY LETTERHEAD, WHICH CONFORMS IN FORM, SCOPE, AND CONTENT TO THE CITY'S MINIMUM NON-DISCRIMINATION POLICY, AS SET FORTH HEREIN, OR THIS NON-DISCRIMINATION POLICY, WHICH HAS BEEN ADOPTED BY THE CONTRACTOR FOR ALL PURPOSES (THE FORM OF WHICH HAS BEEN APPROVED BY THE CITY'S EQUAL EMPLOYMENT/FAIR HOUSING OFFICE), WILL BE CONSIDERED THE CONTRACTOR'S NON-DISCRIMINATION POLICY WITHOUT THE REQUIREMENT OF A SEPARATE SUBMITTAL.

**Sanctions:**

Our firm understands that non-compliance with Chapter 5-4 may result in sanctions, including termination of the contract and suspension or debarment from participation in future City contracts until deemed compliant with the requirements of Chapter 5-4.

**Term:**

The Contractor agrees that this Section 0800 Non-Discrimination Certificate or the Contractor's separate conforming policy, which the Contractor has executed and filed with the Owner, will remain in force and effect for one year from the date of filing. The Contractor further agrees that, in consideration of the receipt of continued Contract payments, the Contractor's Non-Discrimination Policy will automatically renew from year-to-year for the term of the underlying Contract.

Dated this 4th day of April, 2017

CONTRACTOR  
Authorized  
Signature



Carole Belver

Title

Executive Director



# **EXHIBIT D**

## **RYAN WHITE PART A REQUIRED REPORTS**

### **PERFORMANCE and FINANCIAL REPORT DELIVERY SCHEDULE**

*Partial list of required reports with due dates on next page*

Current reporting forms and assistance are available from  
HIV Resources Administration Unit/ Austin Health and Human Services Dept.

## REQUIRED PERFORMANCE and FINANCIAL REPORTS

### Delivery Schedule for Ryan White Part A/MAI Grant Agreements and Contracts

Partial list of required forms and reports, to be submitted no later than the indicated due dates:

Reporting Requirements	Due Dates
<b>ARIES Monthly Data Report and ARIES YTD Data Report</b> (for each sub/service category: Actual Units delivered and Unduplicated Clients served for the billed month, and also cumulative Year-to-Date totals. <b>For MAI program – breakdown by target group is also required</b>	Ongoing ARIES data input is required. Two ARIES Data Reports are due monthly, no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM (Community Information Online Data Management) system
<b>Monthly Performance Report and Monthly Financial Summary</b> spreadsheets, including Program Income and Administrative Expenditures	Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded <b>complete MS Excel spreadsheet sets</b> into CIODM system
<i>(As applicable for each month where expenditures or performance are not within expected range):</i> <b>Monthly Expenditure and Performance Variance Report</b> by HIV Service Category (submitted in MS Word format)	For each service category that meets criteria (instructions on form), a separate form is due no later than the 15 <sup>th</sup> of each month, <b>uploaded as MS Word formatted file</b> into CIODM system
<b>Contractor Detail for Monthly Expenditures Report</b> (general ledger/financial system transactions documentation)	Submit contract actual monthly & YTD expenditures report generated from the Contractor's financial management system. Due no later than the 15 <sup>th</sup> of each month for the previous month, uploaded into CIODM system
<b>Semi-Annual OUTCOME Performance Measures report</b> with cumulative YTD client results for numerators, denominators, and percentage rates achieved	October 14, 2017 (initial 6-month report) and April 14, 2018 (final 12-month cumulative YTD report) on forms and following instructions as provided by City
<b>Ryan White Program Services Report (RSR)</b> for calendar year 2017 submitted online into HRSA's EHB system, or as directed	March 2018, or as directed by City – for period January through December 2017
<b>Administrative and Fiscal Review (AFR)</b> Annual report with all required attachments submitted in CIODM or as directed	May 31, 2017 or as directed by City
<b>Final Term Period Closeout Report</b> for March 1, 2017 – February 28, 2018	April 14, 2017
<b>Annual Audit/ Financial Report</b> with Management Letter and all related items	No later than 180 calendar days after close of provider agency's fiscal year



# **EXHIBIT E**

## **MODIFICATIONS TO THE STANDARD APH AGREEMENT**

### **RYAN WHITE HIV/AIDS PROGRAM (RWHAP) PART A HIV SERVICES**

As Administrative Agent for the Austin TGA (Transitional Grant Area), the City has received a Ryan White Treatment Modernization Act Part A Grant ("Grant") from the United States Department of Health and Human Services (HHS), which is administered by the Federal Health Resources and Services Administration (HRSA). The City wishes to purchase from Grantee services for eligible clients living with HIV/AIDS in accordance with Grant Terms. (In the Agreement and in this Modifications document, "Grantee" refers to the party who will provide services for the City.) Grantee agrees to provide services to the City in accordance with the terms of the Agreement, this Modifications document, and the terms of the Grant, a copy of which has been provided to and reviewed by Grantee.

Grantee must comply with all applicable legislative and program requirements for the Grant and other Federal regulations.

1. Section 4.1.1. of the Agreement is deleted in its entirety and replaced by the following:

4.1.1. Grantee may not transfer any funds between different Service Categories without advance written approval from the City. Within a Service Category Budget, line item amounts under the major budget categories of Personnel, Fringe Benefits, Equipment, Travel, Supplies, Contractual and Other can be changed without prior approval, as long as the changes do not exceed ten percent (10%) of the total Service Category Budget. When there is a decrease or increase in a major budget category amount, the change must be recorded on all affected tab sheets under the Approved Budget Allocation column on the HIV Monthly Financial Report. When budget changes cumulatively exceed ten percent (10%) of the total Service Category Budget, Grantee shall submit a written request for Budget reallocation approval by the City's Agreement Manager.

2. Section 4 of the Agreement is modified to add the following as 4.1.3.:

4.1.3. Grantee agrees to provide budget information with sufficient detail to allow identification of applicable expenses as defined in the HRSA HIV/AIDS Bureau Policy Clarification Notice 15-01, *Treatment of Costs Under the 10% Administrative Cap For Ryan White HIV/AIDS Program Parts A, B, C, and D*, and other applicable Federal guidance. Grantee will provide expenditure reports as required by the City that track expenses with sufficient detail to permit review of cost elements.

3. Section 4.7.4. of the Agreement is deleted in its entirety and replaced by the following:

4.7.4. The City shall not be liable to Grantee for any costs that have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by Grantee that were: a) incurred prior to the effective date of this Agreement, or b) not billed to the City at least five (5) business days before the Grantee's Program Period Closeout Report is submitted or due, whichever comes first.

4. Section 4 of the Agreement is modified to add the following as Section 4.7.9.:

4.7.9. Grantee agrees to collect and report program income as required by this Agreement and the Grant, and to list all program income received in its monthly performance and financial reports. The program income is to be returned to the respective HIV/AIDS program and used for eligible program costs. Program income is gross income directly generated by the grant-supported activity or earned as a result of the grant award. Program income includes, but is not limited to, income from fees for services performed such as direct payment, or reimbursements received from Medicaid, Medicare, private insurance or any third-party payers. Direct payment includes, but is not limited to enrollment fees, premiums, deductibles, cost sharing, co-payments, coinsurance, or other charges. Grantee agrees to add program income to Agreement funds and use program income to further eligible project or program objectives. Grantee shall ensure that systems are in place to account for program income. Program income shall be reported on the HIV Services Monthly Financial Summary Report and on other report formats as required by the City.

5. Section 4.8.3. of the Agreement is modified to include the following additional items as allowable only with prior written authorization:

9. Administrative costs up to 10% of the total Program Period Agreement expenditures

6. Section 4.8.4. of the Agreement is modified to include the following additional items as specifically **not allowable** with funds under this Agreement:

- 21. Expenses subject to reimbursement by a source other than the City
- 22. Expenses claimed that would supplant other funding sources already in place
- 23. Funding for Syringe Services Programs, inclusive of syringe exchange, access, and disposal
- 24. Pre-Exposure Prophylaxis (PrEP) or non-occupational Post-Exposure Prophylaxis (nPEP)
- 25. Administrative costs in excess of 10% of the total Program Period Agreement expenditures
- 26. Outreach programs and/or services that have HIV prevention education as their exclusive purpose, or broad-scope awareness activities about HIV services that target the general public

7. Section 4 of the Agreement is modified to add the following as Section 4.8.5.:

4.8.5. *Special Conditions Related to the Purchase of Pharmaceuticals.* Funds awarded for pharmaceuticals shall meet the following Federal requirements:

4.8.5.1. Funds may only be spent for pharmaceuticals to assist clients who have been determined to be ineligible for other pharmaceutical assistance programs, including but not limited to the AIDS Drug Assistance Program (ADAP), while they await entrance into such programs, and/or for drugs that are not on the State ADAP or Medicaid formulary.

4.8.5.2. If Grantee reimburses clients for outpatient drugs, an assessment must be made to determine whether Grantee's drug acquisition practices meet Federal requirements regarding cost-effectiveness and reasonableness (see OMB Uniform Guidance at [www.grants.gov/web/grants/learn-grants/grant-policies.html](http://www.grants.gov/web/grants/learn-grants/grant-policies.html)). If Grantee is eligible to be a covered entity under Section 340B of the Public Health Service Act, and the assessment shows that participating in the 340B Drug Pricing Program and its Prime Vendor Program is the most economical and reasonable manner of purchasing or reimbursing for covered outpatient drugs, as defined by that section, failure to participate may result in a negative audit finding, cost disallowance, or grant funding offset.

8. Section 4 of the Agreement is modified to add the following as Section 4.8.6:

4.8.6. *Special Conditions Related to Cash and Cash Equivalent Payments.* RWHAP funds cannot be used to make cash payments to intended clients of core medical or support services. This prohibition includes cash incentives and cash intended as payment for RWHAP services. Where direct provision of a service is not possible or effective, store gift cards, vouchers, coupons, or tickets that can be exchanged for a specific service or commodity (e.g., food or transportation) must be used. Store gift cards that can be redeemed at one merchant or an affiliated group of merchants for specific goods or services that further the goals and objectives of the RWHAP are also allowable as incentives for eligible program participants. Grantees must



administer voucher and store gift card programs in a manner that assures that vouchers or gift cards cannot be exchanged for cash or used for anything other than allowable goods and services, and must have a system in place to account for disbursed vouchers and store gift cards. General-use prepaid cards, which generally bear the logo of a payment network such as Visa, Mastercard, or American Express, are considered "cash equivalents" and are unallowable. Gift cards that are co-branded with the logo of a payment network and the logo of a merchant or affiliated group of merchants are considered general-use prepaid cards and are therefore not allowable.

9. Section 4 of the Agreement is modified to include the following as Section 4.8.7:

*4.8.7. Maximum Salary for Grant-Funded Positions.* Public Law 114-113 limits the salary amount for any given individual that may be charged to HRSA grants and cooperative agreements to the current Federal Executive Pay Scale II rate. This amount reflects an individual's base salary exclusive of fringe benefits. This limitation does not apply to payments made to consultants, although such payments must meet the test of reasonableness. This action does not limit an individual's compensation, only the portion which may be charged to Grant funds.

10. Section 4.9.2. of the Agreement is deleted in its entirety and replaced by the following:

4.9.2. Additional monthly reports required by the Agreement include, but are not limited to the HIV Monthly Financial Summary Report, Monthly Performance Report, AIDS Regional Information and Evaluation System (ARIES) Monthly and Year-To-Date (YTD) Data Reports, and, if applicable, Monthly Expenditure and Performance Variance Report. The reports must be submitted to the City using the same deadlines as in Section 4.9.1. Payment Requests will not be approved and processed until additional required reports are received, reviewed, and approved.

4.9.2.1. To attain standardized unduplicated client-level data management, the Grantee agrees to use the AIDS Regional Information and Evaluation System (ARIES) or other data management system designated by the City. Grantee shall ensure that complete and correct client-level data are entered into ARIES. Grantee shall enter service delivery data into ARIES or other data management system designated by the City, within five (5) business days of providing the service.

4.9.2.2. Grantee shall determine on a monthly basis that the cumulative number of units of service delivered and the cumulative amount of reimbursement requested both fall within ten percent (10%) below or above the appropriate level at that particular time during the Agreement term for service measure deliverables and projected expenditure spend-down.

4.9.2.3. If an Service Category Program Period-to-date expenditure or performance result is not within the acceptable ten percent (10%) variance, written explanation must be provided on the Monthly Expenditure and Performance Variance Report.

4.9.2.4. If the cumulative service delivery or amount of reimbursement is not within the ten percent (10%) level, City may require Grantee to either:

- i. submit a revised expenditure plan; or
- ii. amend the budget amount for this Agreement to the amount projected to be expended, as determined by the City.

11. Section 4.9.3. of the Agreement is deleted in its entirety.

12. Section 4.9.4. of the Agreement is deleted in its entirety and replaced by the following:

4.9.4 An Agreement Closeout Summary report using the forms shown at <http://www.ctkodm.com/austin/>, or substitute forms designated by the City, shall be completed by the Grantee and submitted to the City within forty-five (45) calendar days following the expiration or termination of this Agreement. Any encumbrances of funds incurred prior to the date of termination of this Agreement shall be subject to verification by the City. Upon termination of this Agreement, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Agreement shall be returned to the City.

13. Section 4.11.1 of the Agreement is deleted in its entirety and replaced by the following:

4.11.1. Grantee agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Grantee and Subgrantees to the Program Work Statement, Program Performance Measures, and Program Budget, as well as other provisions of this Agreement. Grantee shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities. The City will notify Grantee in writing of any deficiencies noted during such monitoring. Grantee shall respond to the monitoring report by the required deadline. The City will provide technical assistance, upon request, to Grantee and will require or suggest changes in Grantee's program implementation or in Grantee's accounting, personnel, procurement, and management procedures in order to correct any deficiencies noted. The City will conduct follow-up visits to review and assess the efforts Grantee has made to correct previously noted deficiencies. The City may terminate this Agreement or invoke other remedies in the event monitoring reveals material deficiencies in Grantee's performance or if Grantee fails to correct any deficiency within the time allowed by federal or City laws or regulations.

14. Section 4.13.2. of the Agreement is deleted in its entirety and replaced by the following:

4.13.2. Written notification must be given to the City within five (5) calendar days of delivery of nonexpendable property (defined as anything that has a life or utility of more than one (1) year and an acquisition cost, including freight, of five thousand dollars (\$5,000) or more per unit in order for the City to effect identification and recording for inventory purposes. Grantee shall maintain adequate accountability and control over such property, maintain adequate property records, perform an annual physical inventory of all such property, and report this information in the Closeout Summary Report, due forty-five (45) days after the end of the Agreement Term.

15. Section 7.2. of the Agreement is deleted in its entirety and replaced by the following:

**7.2. Performance Standards**

7.2.1. Grantee warrants and represents that all services provided under this Agreement shall be fully and timely performed in a good and workmanlike manner in accordance with generally accepted community standards and, if applicable, professional standards and practices. Grantee may not limit, exclude, or disclaim this warranty or any warranty implied by law, and any attempt to do so shall be without force or effect. If the Grantee is unable or unwilling to perform its services in accordance with the above standard as required by the City, then in addition to any other available remedy, the City may reduce the amount of services it may be required to purchase under the Agreement from the Grantee, and purchase conforming services from other sources. In such event, the Grantee shall pay to the City upon demand the increased cost, if any, incurred by the City to procure such services from another source. Grantee agrees to participate with City staff to update the performance measures.

7.2.2. Grantee warrants that it has reviewed the applicable Austin Area Standards of Care, agrees to observe them, and agrees that they are incorporated by reference. Grantee shall provide training to staff on applicable Standards of Care related to their positions, including within ninety (90) calendar days of receipt of the Standards of Care from HHSD, within thirty (30) calendar days of new employee hire date, and at least annually thereafter. Documentation of current Standards of Care training shall be maintained and reported as required by HHSD.

7.2.3. Grantee must have and adhere to a Grievance Policy and Procedures that shall be available in both English and Spanish and posted in a public area that is accessible to clients. Grantee shall adhere to the Austin Area Grievance Policy and Procedures. Clients may request an appeal for termination.

7.2.4. Grantee agrees to participate in City's clinical Quality Improvement Management Program and comply with all related training and other requirements, including site visits, Clinical Quality Improvement Committee and subcommittee meetings, needs assessments, annual client satisfaction surveys as directed by the City, service utilization reviews, and other case reviews and chart audits as identified by



the City through the Clinical Quality Improvement process. Grantee agrees to actively participate and use the Plan, Do, Study, Act (PDSA) model for service improvements. Grantee shall provide the City with a Grantee-specific Quality Improvement Plan that is updated annually, reflects changes/improvements in care, addresses identified client needs, and is consistent with the overall Austin Transitional Grant Area (TGA) Quality Management Plan and Quality Goals. Grantee will provide a copy of this plan to the City no later than 90 calendar days of the effective date of this Agreement or as directed by the City. Grantee agrees that it has reviewed the Austin TGA Quality Management Plan and Quality Goals, agrees to comply with them, and that they are incorporated by reference.

7.2.5. Grantee agrees to comply with established ARIES data standards and policies by:

7.2.5.1. Completing input for all required ARIES data elements within established timelines.

7.2.5.2. Ensuring that established thresholds for missing, unknown, or inconsistent ARIES required data elements are not exceeded.

7.2.5.3. Participating in data-related trainings or other technical assistance activities.

7.2.5.4. Responding to periodic ARIES data requests and related desktop monitoring processes conducted by the City.

7.2.5.5. Ensuring that all ARIES data users are aware of data standards and policies and that new users receive training prior to entering data into the system.

7.2.6. Grantee shall document in writing its referral relationships with points of entry to help identify HIV-positive clients and refer them into the health care system. Points of entry include emergency rooms, substance abuse treatment programs, detoxification programs, detention facilities, sexually transmitted disease (STD) clinics, Federally Qualified Health Centers, HIV counseling and testing sites, mental health programs, and homeless shelters. Documented referral agreements shall take the form of Memoranda of Understanding, interagency contacts, or other formal agreements that include the names of parties involved, timeframe or term of the agreement, a clearly defined referral process, and a follow-up mechanism to ensure referrals take place. Grantee shall establish and document a referral relationship with each applicable point of entry, retain subsequent client referral documentation, and make such documentation available for review by the City.

7.2.7. Contractor agrees to meet specific program and fiscal requirements as detailed in the *National Monitoring Standards for Ryan White Grantees*. Contractor has reviewed these Standards, agrees to comply with them, and they are incorporated by reference.

16. The Agreement is modified to add the following as Section 8.31:

**Services to Veterans.** Grantee agrees not to deny services, including but not limited to prescription drugs, to a veteran who is otherwise eligible for Ryan White HIV/AIDS services in accordance with RWHAP Policy Notice 04-01 regarding veterans living with HIV/AIDS.

17. The Agreement is modified to add the following as Section 8.32:

**8.32. Maintenance of Effort.** Contractor agrees to comply with Ryan White HIV/AIDS Treatment Modernization Act Maintenance of Effort requirements and shall maintain adequate systems for consistently tracking and reporting on HIV/AIDS-related expenditure data as required by the City and HRSA.

18. The Agreement is modified to add the following as Section 8.33:

**8.33 Pro-Children Act.** Grantee agrees to comply with the Pro-Children Act of 1994 [20 USC Sec. 6081, *et seq.*], which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted by an entity and used routinely for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by Federal programs either directly or through State or local governments by Federal grant, contract, loan, or loan guarantee.

19. The Agreement is modified to add the following as Section 8.34:

**8.34. Payer of Last Resort/Client Eligibility.** Grantee and its subgrantees are expected to vigorously pursue eligibility for other funding sources (e.g., Affordable Care Act [ACA] Marketplace, Medicaid, CHIP, Medicare, other State-funded HIV/AIDS programs, employer-sponsored health insurance coverage and/or other private health insurance) in order to extend Grant resources to new clients and/or needed services, maintain policies regarding the required process for pursuing medical benefits enrollment for all eligible clients, and document the steps taken to pursue enrollment for all clients as stated in the current HRSA Policy Clarification Notices and pursuant to other HRSA and Federal requirements.

Grantee shall not use funds provided under this Agreement to pay for Medicaid/Medicare covered services for eligible clients. Grantee shall bill all eligible or available third-party payers before seeking reimbursement under this agreement. A grantee that provides service that are reimbursable by Medicare/Medicaid shall be certified to receive Medicare/Medicaid services and shall provide documentation of certification to the City.

In accordance with the RWHAP client eligibility determination and recertification requirements (Policy Clarification Notice 13-02), HRSA expects clients' eligibility to be assessed during the initial eligibility determination, at least every six months, and at least once a year (whether defined as a 12 month period or calendar year) or whenever changes occur with a client's residency, income, or insurance status to ensure that the program only serves eligible clients, and that RWHAP is the payer of last resort.

20. The Agreement is modified to add the following as Section 8.35:

**8.35. Whistleblower Statutes.** Grantee agrees to comply with all Federal "Whistleblower" protection statutes, including 41 U.S.C. 4712, and to notify all employees and subgrantees in writing that they are subject to those statutes' rights and remedies.

21. The Agreement is modified to add the following as Section 8.36:

**8.36. Treatment of Same-Sex Spouses, Marriages, and Households.** In any Grant-related activity in which family, marital or household considerations are, by statute or regulation, relevant for purposes of determining beneficiary eligibility or participation, Grantee must treat same-sex spouses, marriages, and households on the same terms and opposite-sex spouses, marriages, and households. By "same-sex spouses," DHHS means individuals of the same sex who have entered into marriages that are valid in the jurisdiction where performed, including any of the 50 states, the District of Columbia, or a U.S. territory or foreign country, regardless of whether the couple resides in a jurisdiction that recognizes same-sex marriage. By "marriage," DHHS does not mean registered domestic partnerships, civil unions, or similar formal relationships recognized under the law of the jurisdiction of celebration as something other than a marriage. This terms applies to all grant programs except block grants governed by 45 CFR Part 98, or grant awards made under titles IVA, XIX, and XXI of the Social Security Act, and grant programs with approved deviations.

22. The Agreement is modified to add the following as Section 8.37:

**8.37. Sliding Scale and Maximum Annual Charges.** Persons with an income at or below 100% of the current federal poverty line may not be charged for any services covered by this Agreement. All other clients may be charged a fee based on income. The Grantee shall develop a sliding fee schedule based on current federal poverty income guidelines, and a mechanism capable of billing patients and third party payers. Grantee shall make reasonable efforts to collect from patients and third parties. A copy of the proposed fee schedule must be posted in an area accessible to all clients. No client shall be denied services because of an inability to pay. Grantee agrees to limit annual charges to clients based upon an individual client's annual gross income, and on Grantees client schedule of charges, documented annually. Grantee shall ensure that annual charges for HIV care from any and all providers do not exceed ten percent (10%) of an individual's annual gross income, based on billing documentation provided by clients. Grantee shall limit the annual cumulative charges to an individual for HIV-related services as provided in the following table:



Client Income	Maximum Charge (annual cap)
At or below 100% of Federal Poverty Level (FPL)	\$0
101% to 200% of FPL	No more than 5% of gross annual income
201% to 300% of FPL	No more than 7% of gross annual income
Over 300% of FPL	No more than 10% of gross annual income

23. The Agreement is modified to add the following as Section 8.38:

**8.38. Personnel Job Descriptions.** Resumes for professional staff not included in the grant application or who are subsequently hired/assigned to this grant program must be submitted to the City within twenty (20) calendar days of their appointment to the program.

## **BUSINESS ASSOCIATE AGREEMENT PROVISIONS**

This Business Associate Agreement (the "Agreement"), is made by and between the Grantee (Business Associate) and the City (Covered Entity) (collectively the "Parties") to comply with privacy standards adopted by the U.S. Department of Health and Human Services as they may be amended from time to time, 45 C.F.R. parts 160 and 164 ("the Privacy Rule") and security standards adopted by the U.S. Department of Health and Human Services as they may be amended from time to time, 45 C.F.R. parts 160, 162 and 164, subpart C ("the Security Rule"), and the Health Information Technology for Economic and Clinical Health (HITECH) Act, Title XIII of Division A and Title IV of Division B of the American Recovery and Reinvestment Act of 2009 and regulations promulgated there under and any applicable state confidentiality laws.

### **RECITALS**

WHEREAS, Business Associate provides services outlined in Exhibit A.1 to or on behalf of Covered Entity;

WHEREAS, in connection with these services, Covered Entity discloses to Business Associate certain protected health information that is subject to protection under the HIPAA Rules; and

WHEREAS, the HIPAA Rules require that Covered Entity receive adequate assurances that Business Associate will comply with certain obligations with respect to the PHI received, maintained, or transmitted in the course of providing services to or on behalf of Covered Entity.

NOW THEREFORE, in consideration of the mutual promises and covenants herein, and for other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Parties agree as follows:

- A. Definitions. Terms used herein, but not otherwise defined, shall have meaning ascribed by the Privacy Rule and the Security Rule.
1. Breach. "Breach" shall have the same meaning as the term "breach" in 45 C.F.R. §164.502.
  2. Business Associate. "Business Associate" shall have the same meaning as the term "business associate" in 45 C.F.R. §160.103 and in reference to the party to this agreement, shall mean Grantee.
  3. Covered Entity. "Covered Entity" shall have the same meaning as the term "covered entity" in 45 C.F.R. §160.103 and in reference to the party to this agreement shall mean The City of Austin.
  4. Designated Record Set. "Designated Record Set" shall mean a group of records maintained by or for a Covered Entity that is: (i) the medical records and billing records about Individuals maintained by or for a covered health care provider; (ii) the enrollment, payment, claims adjudication, and case or medical management record systems maintained by or for a health plan; or (iii) used, in whole or in part, by or for the covered entity to make decisions about Individuals. For purposes of



this definition, the term “record” means any item, collection, or grouping of information that includes protected health information and is maintained, collected, used, or disseminated by or for a covered entity.

5. HIPAA Rules. The Privacy Rule and the Security Rule and amendments codified and promulgated by the HITECH Act are referred to collectively herein as “HIPAA Rules.”
  6. Individual. “Individual” shall mean the person who is the subject of the protected health information.
  7. Incident. “Incident” means a potential or attempted unauthorized access, use, disclosure, modification, loss or destruction of PHI, which has the potential for jeopardizing the confidentiality, integrity or availability of the PHI.
  8. Protected Health Information (“PHI”). “Protected Health Information” or PHI shall have the same meaning as the term “protected health information” in 45 C.F.R. §160.103, limited to the information created, received, maintained or transmitted by Business Associate from or on behalf of covered entity pursuant to this Agreement.
  9. Required by Law. “Required by Law” shall mean a mandate contained in law that compels a use or disclosure of PHI.
  10. Secretary. “Secretary” shall mean the Secretary of the Department of Health and Human Services or his or her Designee.
  11. Sensitive Personal Information. “Sensitive Personal Information” shall mean an individual’s first name or first initial and last name in combination with any one or more of the following items, if the name and the items are not encrypted: a) social security number; driver’s license number or government-issued identification number; or account number or credit or debit card number in combination with any required security code, access code, or password that would permit access to an individual’s financial account; or b) information that identifies an individual and relates to: the physical or mental health or condition of the individual; the provision of health care to the individual; or payment for the provision of health care to the individual.
  12. Subcontractor. “subcontractor” shall have the same meaning as the term “subcontractor” in 45 C.F.R. §160.103.
  13. Unsecured PHI. “Unsecured PHI” shall mean PHI that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals through the use of a technology or methodology specified by the Secretary in the guidance issued under section 13402(h)(2) of Public Law 111-5.
- B. Purposes for which PHI May Be Disclosed to Business Associate. In connection with the services provided by Business Associate to or on behalf of Covered Entity described in this

Agreement, Covered Entity may disclose PHI to Business Associate for the purposes of providing a social service.

C. Obligations of Covered Entity. If deemed applicable by Covered Entity, Covered Entity shall:

1. provide Business Associate a copy of its Notice of Privacy Practices ("Notice") produced by Covered Entity in accordance with 45 C.F.R. 164.520 as well as any changes to such Notice;
2. provide Business Associate with any changes in, or revocation of, authorizations by Individuals relating to the use and/or disclosure of PHI, if such changes affect Business Associate's permitted or required uses and/or disclosures;
3. notify Business Associate of any restriction to the use and/or disclosure of PHI to which Covered Entity has agreed in accordance with 45 C.F.R. 164.522, to the extent that such restriction may affect Business Associate's use or disclosure of PHI;
4. not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by the Covered entity;
5. notify Business Associate of any amendment to PHI to which Covered Entity has agreed that affects a Designated Record Set maintained by Business Associate;
6. if Business Associate maintains a Designated Record Set, provide Business Associate with a copy of its policies and procedures related to an Individual's right to: access PHI; request an amendment to PHI; request confidential communications of PHI; or request an accounting of disclosures of PHI; and,
7. direct, review and control notification made by the Business Associate of individuals of breach of their Unsecured PHI in accordance with the requirements set forth in 45 C.F.R. §164.404.

D. Obligations of Business Associate. Business Associate agrees to comply with applicable federal and state confidentiality and security laws, specifically the provisions of the HIPAA Rules applicable to business associates, including:

1. Use and Disclosure of PHI. Except as otherwise permitted by this Agreement or applicable law, Business Associate shall not use or disclose PHI except as necessary to provide Services described above to or on behalf of Covered Entity, and shall not use or disclose PHI that would violate the HIPAA Rules if used or disclosed by Covered Entity. Also, knowing that there are certain restrictions on disclosure of PHI. Provided, however, Business Associate may use and disclose PHI as necessary for the proper management and administration of Business Associate, or to carry out its legal responsibilities. Business Associate shall in such cases:



- (a) provide information and training to members of its workforce using or disclosing PHI regarding the confidentiality requirements of the HIPAA Rules and this Agreement;
  - (b) obtain reasonable assurances from the person or entity to whom the PHI is disclosed that: (a) the PHI will be held confidential and further used and disclosed only as Required by Law or for the purpose for which it was disclosed to the person or entity; and (b) the person or entity will notify Business Associate of any instances of which it is aware in which confidentiality of the PHI has been breached; and
  - (c) agree to notify the designated Privacy Officer of Covered Entity of any instances of which it is aware in which the PHI is used or disclosed for a purpose that is not otherwise provided for in this Agreement or for a purpose not expressly permitted by the HIPAA Rules.
- 2. Data Aggregation. In the event that Business Associate works for more than one Covered Entity, Business Associate is permitted to use and disclose PHI for data aggregation purposes, however, only in order to analyze data for permitted health care operations, and only to the extent that such use is permitted under the HIPAA Rules.
- 3. De-identified Information. Business Associate may use and disclose de-identified health information if written approval from the Covered Entity is obtained, and the PHI is de-identified in compliance with the HIPAA Rules. Moreover, Business Associate shall review and comply with the requirements defined under Section E. of this Agreement.
- 4. Safeguards.
  - (a) Business Associate shall maintain appropriate safeguards to ensure that PHI is not used or disclosed other than as provided by this Agreement or as Required by Law. Business Associate shall implement administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of any paper or electronic PHI it creates, receives, maintains, or transmits on behalf of Covered Entity.
  - (b) Business Associate shall assure that all PHI be secured when accessed by Business Associate's employees, agents or subcontractor. Any access to PHI by Business Associate's employees, agents or subcontractors shall be limited to legitimate business needs while working with PHI. Any personnel changes by Business Associate, eliminating the legitimate business needs for employees, agents or contractors access to PHI – either by revision of duties or termination – shall be immediately reported to Covered Entity. Such reporting shall be made no later than the third business day after the personnel change becomes effective.

5. Minimum Necessary. Business Associate shall ensure that all uses and disclosures of PHI are subject to the principle of "minimum necessary use and disclosure," i.e., that only PHI that is the minimum necessary to accomplish the intended purpose of the use, disclosure, or request is used or disclosed; and, the use of limited data sets when possible.
6. Disclosure to Agents and Subcontractors. If Business Associate discloses PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity, to agents, including a subcontractor, Business Associate shall require the agent or subcontractor to agree to the same restrictions and conditions as apply to Business Associate under this Agreement. Business Associate shall ensure that any agent, including a subcontractor, agrees to implement reasonable and appropriate safeguards to protect the confidentiality, integrity, and availability of the paper or electronic PHI that it creates, receives, maintains, or transmits on behalf of the Covered Entity. Business Associate shall be liable to Covered Entity for any acts, failures or omissions of the agent or subcontractor in providing the services as if they were Business Associate's own acts, failures or omissions, to the extent permitted by law. Business Associate further expressly warrants that its agents or subcontractors will be specifically advised of, and will comply in all respects with, the terms of this Agreement.
7. Individual Rights Regarding Designated Record Sets. If Business Associate maintains a Designated Record Set on behalf of Covered Entity Business Associate agrees as follows:
  - (a) Individual Right to Copy or Inspection. Business Associate agrees that if it maintains a Designated Record Set for Covered Entity that is not maintained by Covered Entity, it will permit an Individual to inspect or copy PHI about the Individual in that set as directed by Covered Entity to meet the requirements of 45 C.F.R. § 164.524. If the PHI is in electronic format, the Individual shall have a right to obtain a copy of such information in electronic format and, if the Individual chooses, to direct that an electronic copy be transmitted directly to an entity or person designated by the individual in accordance with HITECH section 13405 (c). Under the Privacy Rule, Covered Entity is required to take action on such requests as soon as possible, but not later than 30 days following receipt of the request. Business Associate agrees to make reasonable efforts to assist Covered Entity in meeting this deadline. The information shall be provided in the form or format requested if it is readily producible in such form or format; or in summary, if the Individual has agreed in advance to accept the information in summary form. A reasonable, cost-based fee for copying health information may be charged. If Covered Entity maintains the requested records, Covered Entity, rather than Business Associate shall permit access according to its policies and procedures implementing the Privacy Rule.

- (b) Individual Right to Amendment. Business Associate agrees, if it maintains PHI in a Designated Record Set, to make amendments to PHI at the request and direction of Covered Entity pursuant to 45 C.F.R. §164.526. If Business Associate maintains a record in a Designated Record Set that is not also maintained by Covered Entity, Business Associate agrees that it will accommodate an Individual's request to amend PHI only in conjunction with a determination by Covered Entity that the amendment is appropriate according to 45 C.F.R. §164.526.
- (c) Accounting of Disclosures. Business Associate agrees to maintain documentation of the information required to provide an accounting of disclosures of PHI, whether PHI is paper or electronic format, in accordance with 45 C.F.R. §164.528 and HITECH Sub Title D Title VI Section 13405 (c), and to make this information available to Covered Entity upon Covered Entity's request, in order to allow Covered Entity to respond to an Individual's request for accounting of disclosures. Under the Privacy Rule, Covered Entity is required to take action on such requests as soon as possible but not later than 60 days following receipt of the request. Business Associate agrees to use its best efforts to assist Covered Entity in meeting this deadline but not later than 45 days following receipt of the request. Such accounting must be provided without cost to the individual or Covered Entity if it is the first accounting requested by an individual within any 12 month period; however, a reasonable, cost-based fee may be charged for subsequent accountings if Business Associate informs the individual in advance of the fee and is afforded an opportunity to withdraw or modify the request. Such accounting is limited to disclosures that were made in the six (6) years prior to the request (not including disclosures prior to the compliance date of the Privacy Rule) and shall be provided for as long as Business Associate maintains the PHI.
8. Internal Practices, Policies and Procedures. Except as otherwise specified herein, Business Associate shall make available its internal practices, books, records, policies and procedures relating to the use and disclosure of PHI, received from or on behalf of Covered Entity to the Secretary or his or her agents for the purpose of determining Covered Entity's compliance with the HIPAA Rules, or any other health oversight agency, or to Covered Entity. Records requested that are not protected by an applicable legal privilege will be made available in the time and manner specified by Covered Entity or the Secretary.
9. Notice of Privacy Practices. Business Associate shall abide by the limitations of Covered Entity's Notice of which it has knowledge. Any use or disclosure permitted by this Agreement may be amended by changes to Covered Entity's Notice; provided, however, that the amended Notice shall not affect permitted uses and disclosures on which Business Associate relied prior to receiving notice of such amended Notice.



10. Withdrawal of Authorization. If the use or disclosure of PHI in this Agreement is based upon an Individual's specific authorization for the use or disclosure of his or her PHI, and the Individual revokes such authorization, the effective date of such authorization has expired, or such authorization is found to be defective in any manner that renders it invalid, Business Associate shall, if it has notice of such revocation, expiration, or invalidity, cease the use and disclosure of the Individual's PHI except to the extent it has relied on such use or disclosure, or if an exception under the Privacy Rule expressly applies.
11. Knowledge of HIPAA Rules. Business Associate agrees to review and understand the HIPAA Rules as it applies to Business Associate, and to comply with the applicable requirements of the HIPAA Rule, as well as any applicable amendments.
12. Information Incident Notification for PHI. Business Associate will report any successful Incident of which it becomes aware and at the request of the Covered Entity, will identify: the date of the Incident, scope of Incident, Business Associate's response to the Incident, and the identification of the party responsible for causing the Incident.
13. Information Breach Notification for PHI. Business Associate expressly recognizes that Covered Entity has certain reporting and disclosure obligations to the Secretary and the Individual in case of a security breach of unsecured PHI. Where Business Associate accesses, maintains, retains, modifies, records, stores, destroys, or otherwise holds, uses or discloses unsecured paper or electronic PHI, Business Associate immediately following the "discovery" (within the meaning of 45 C.F.R. §164.410(a)) of a breach of such information, shall notify Covered Entity of such breach. Initial notification of the breach does not need to be in compliance with 45 C.F.R. §164.404(c); however, Business Associate must provide Covered Entity with all information necessary for Covered Entity to comply with 45 C.F.R. §164.404(c) without reasonable delay, and in no case later than three days following the discovery of the breach. Business Associate shall be liable for the costs associated with such breach if caused by the Business Associate's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Business Associate's agents, officers, employees or subcontractors.
14. Breach Notification to Individuals. Business Associate's duty to notify Covered Entity of any breach does not permit Business Associate to notify those individuals whose PHI has been breached by Business Associate without the express written permission of Covered Entity to do so. Any and all notification to those individuals whose PHI has been breached shall be made by the Business Associate under the direction, review and control of Covered Entity. The Business Associate will notify the Covered Entity via telephone with follow-up in writing to include; name of individuals whose PHI was breached, information breached, date of breach, form of breach, etc. The cost of the notification will be paid by the Business Associate.
15. Information Breach Notification for Other Sensitive Personal Information. In addition to the reporting under Section D.12, Business Associate shall notify

Covered Entity of any breach of computerized Sensitive Personal Information (as determined pursuant to Title 11, subtitle B, chapter 521, Subchapter A, Section 521.053, Texas Business & Commerce Code) to assure Covered Entity's compliance with the notification requirements of Title 11, Subtitle B, Chapter 521, Subchapter A, Section 521.053, Texas Business & Commerce Code. Accordingly, Business Associate shall be liable for all costs associated with any breach caused by Business Associate's negligent or willful acts or omissions, or those negligent or willful acts or omissions of Business Associate's agents, officers, employees or subcontractors.

E. Permitted Uses and Disclosures by Business Associates. Except as otherwise limited in this Agreement, Business Associate may use or disclose Protected Health Information to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in this Business Associates Agreement or in a Master Services Agreement, provided that such use or disclosure would not violate the HIPAA Rules if done by Covered Entity or the minimum necessary policies and procedures of the Covered Entity. Also, Business Associate may use PHI to report violations of law to appropriate Federal and State authorities, consistent with the HIPAA Rules.

1. Use. Business Associate will not, and will ensure that its directors, officers, employees, contractors and other agents do not, use PHI other than as permitted or required by Business Associate to perform the Services or as required by law, but in no event in any manner that would constitute a violation of the Privacy Standards or Security standards if used by Covered Entity.
2. Disclosure. Business Associate will not, and will ensure that its directors, officers, employees, contractors, and other agents do not, disclose PHI other than as permitted pursuant to this arrangement or as required by law, but in no event disclose PHI in any manner that would constitute a violation of the Privacy Standards or Security Standards if disclosed by Covered Entity.
3. Business Associate acknowledges and agrees that Covered Entity owns all right, title, and interest in and to all PHI, and that such right, title, and interest will be vested in Covered Entity. Neither Business Associate nor any of its employees, agents, consultants or assigns will have any rights in any of the PHI, except as expressly set forth above. Business Associate represents, warrants, and covenants that it will not compile and/or distribute analyses to third parties using any PHI without Covered Entity's express written consent.

F. Application of Security and Privacy Provisions to Business Associate.

1. Security Measures. Sections 164.308, 164.310, 164.312 and 164.316 of Title 45 of the Code of Federal Regulations dealing with the administrative, physical and technical safeguards as well as policies, procedures and documentation requirements that apply to Covered Entity shall in the same manner apply to Business Associate. Any additional security requirements contained in Sub Title D of Title IV of the HITECH Act that apply to Covered Entity shall also apply to Business Associate. Pursuant to

the foregoing requirements in this section, the Business Associate will implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the paper or electronic PHI that it creates, has access to, or transmits. Business Associate will also ensure that any agent, including a subcontractor, to whom it provides such information, agrees to implement reasonable and appropriate safeguards to protect such information. Business Associate will ensure that PHI contained in portable devices or removable media is encrypted.

2. Annual Guidance. For the first year beginning after the date of the enactment of the HITECH Act and annually thereafter, the Secretary shall annually issue guidance on the most effective and appropriate technical safeguards for use in carrying out the sections referred to in subsection (a) and the security standards in subpart C of part 164 of title 45, Code of Federal Regulations. Business Associate shall, at their own cost and effort, monitor the issuance of such guidance and comply accordingly.
3. Privacy Provisions. The enhanced HIPAA privacy requirements including but not necessarily limited to accounting for certain PHI disclosures for treatment, restrictions on the sale of PHI, restrictions on marketing and fundraising communications, payment and health care operations contained Subtitle D of the HITECH Act that apply to the Covered entity shall equally apply to the Business Associate.
4. Application of Civil and Criminal Penalties. If Business Associate violates any security or privacy provision specified in subparagraphs (1) and (2) above, sections 1176 and 1177 of the Social Security Act (42 U.S.C. 1320d-5, 1320d-6) shall apply to Business Associate with respect to such violation in the same manner that such sections apply to Covered Entity if it violates such provisions.

#### G. Term and Termination.

1. Term. This Agreement shall be effective as of the Effective Date and shall be terminated when all PHI provided to Business Associate by Covered Entity, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity.
2. Termination for Cause. Upon Covered entity's knowledge of a material breach by Business Associate, Covered Entity shall either:
  - a. Provide an opportunity for Business Associate to cure the breach within 30 days of written notice of such breach or end the violation and terminate this Agreement, whether it is in the form of a stand alone agreement or an addendum to a Master Services Agreement, if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity; or
  - b. Immediately terminate this Agreement whether it is in the form of a stand alone agreement or an addendum to a Master Services Agreement if



Business associate has breached a material term of this Agreement and cure is not possible.

3. Effect of Termination. Upon termination of this Agreement for any reason, Business Associate agrees to return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity, maintained by Business Associate in any form. If Business Associate determines that the return or destruction of PHI is not feasible, Business Associate shall inform Covered Entity in writing of the reason thereof, and shall agree to extend the protections of this Agreement to such PHI and limit further uses and disclosures of the PHI to those purposes that make the return or destruction of the PHI not feasible for so long as Business Associate retains the PHI.

#### H. Miscellaneous.

1. Indemnification. To the extent permitted by law, Business Associate agrees to indemnify and hold harmless Covered Entity from and against all claims, demands, liabilities, judgments or causes of action of any nature for any relief, elements of recovery or damages recognized by law (including, without limitation, attorney's fees, defense costs, and equitable relief), for any damage or loss incurred by Covered Entity arising out of, resulting from, or attributable to any acts or omissions or other conduct of Business Associate or its agents in connection with the performance of Business Associate's or its agents' duties under this Agreement. This indemnity shall apply even if Covered Entity is alleged to be solely or jointly negligent or otherwise solely or jointly at fault; provided, however, that a trier of fact finds Covered Entity not to be solely or jointly negligent or otherwise solely or jointly at fault. This indemnity shall not be construed to limit Covered Entity's rights, if any, to common law indemnity.

Covered Entity shall have the option, at its sole discretion, to employ attorneys selected by it to defend any such action, the costs and expenses of which shall be the responsibility of Business Associate. Covered Entity shall provide Business Associate with timely notice of the existence of such proceedings and such information, documents and other cooperation as reasonably necessary to assist Business Associate in establishing a defense to such action.

These indemnities shall survive termination of this Agreement, and Covered Entity reserves the right, at its option and expense, to participate in the defense of any suit or proceeding through counsel of its own choosing.

2. Mitigation. If Business Associate violates this Agreement or either of the HIPAA Rules, Business Associate agrees to mitigate any damage caused by such breach.
3. Rights of Proprietary Information. Covered Entity retains any and all rights to the proprietary information, confidential information, and PHI it releases to Business Associate.
4. Survival. The respective rights and obligations of Business Associate under Section E.3 of this Agreement shall survive the termination of this Agreement.

5. Notices. Any notices pertaining to this Agreement shall be given in writing and shall be deemed duly given when personally delivered to a Party or a Party's authorized representative as listed in Section 8.7 of the agreement between the City and Grantee or sent by means of a reputable overnight carrier, or sent by means of certified mail, return receipt requested, postage prepaid. A notice sent by certified mail shall be deemed given on the date of receipt or refusal of receipt.
6. Amendments. This Agreement may not be changed or modified in any manner except by an instrument in writing signed by a duly authorized officer of each of the Parties hereto. The Parties, however, agree to amend this Agreement from time to time as necessary, in order to allow Covered Entity to comply with the requirements of the HIPAA Rules.
7. Choice of Law. This Agreement and the rights and the obligations of the Parties hereunder shall be governed by and construed under the laws of the State of Texas without regard to applicable conflict of laws principles.
8. Assignment of Rights and Delegation of Duties. This Agreement is binding upon and inures to the benefit of the Parties hereto and their respective successors and permitted assigns. However, neither Party may assign any of its rights or delegate any of its obligations under this Agreement without the prior written consent of the other Party, which consent shall not be unreasonably withheld or delayed. Notwithstanding any provisions to the contrary, however, Covered Entity retains the right to assign or delegate any of its rights or obligations hereunder to any of its wholly owned subsidiaries, affiliates or successor companies. Assignments made in violation of this provision are null and void.
9. Nature of Agreement. Nothing in this Agreement shall be construed to create (i) a partnership, joint venture or other joint business relationship between the Parties or any of their affiliates, (ii) any fiduciary duty owed by one Party to another Party or any of its affiliates, or (iii) a relationship of employer and employee between the Parties.
10. No Waiver. Failure or delay on the part of either Party to exercise any right, power, privilege or remedy hereunder shall not constitute a waiver thereof. No provision of this Agreement may be waived by either Party except by a writing signed by an authorized representative of the Party making the waiver.
11. Equitable Relief. Any disclosure of misappropriation of PHI by Business Associate in violation of this Agreement will cause Covered Entity irreparable harm, the amount of which may be difficult to ascertain. Business Associate therefore agrees that Covered Entity shall have the right to apply to a court of competent jurisdiction for specific performance and/or an order restraining and enjoining Business Associate from any such further disclosure or breach, and for such other relief as Covered Entity shall deem appropriate. Such rights are in addition to any other remedies available to Covered Entity at law or in equity. Business Associate expressly waives the defense that a remedy in damages will be adequate, and further waives any requirement in an action for specific performance or injunction for the posting of a bond by Covered Entity.

12. Severability. The provisions of this Agreement shall be severable, and if any provision of this Agreement shall be held or declared to be illegal, invalid or unenforceable, the remainder of this Agreement shall continue in full force and effect as though such illegal, invalid or unenforceable provision had not been contained herein.
13. No Third Party Beneficiaries. Nothing in this Agreement shall be considered or construed as conferring any right or benefit on a person not a party to this Agreement nor imposing any obligations on either Party hereto to persons not a party to this Agreement.
14. Headings. The descriptive headings of the articles, sections, subsections, exhibits and schedules of this Agreement are inserted for convenience only, do not constitute a part of this Agreement and shall not affect in any way the meaning or interpretation of this Agreement.
15. Entire Agreement. This Agreement, together with all Exhibits, Riders and amendments, if applicable, which are fully completed and signed by authorized persons on behalf of both Parties from time to time while this Agreement is in effect, constitutes the entire Agreement between the Parties hereto with respect to the subject matter hereof and supersedes all previous written or oral understandings, agreements, negotiations, commitments, and any other writing and communication by or between the Parties with respect to the subject matter hereof. In the event of any inconsistencies between any provisions of this Agreement in any provisions of the Exhibits, Riders, or amendments, the provisions of this Agreement shall control.
16. Interpretation. Any ambiguity in this Agreement shall be resolved in favor of a meaning that permits Covered Entity to comply with the HIPAA Rules and any applicable state confidentiality laws. The provisions of this Agreement shall prevail over the provisions of any other agreement that exists between the Parties that may conflict with, or appear inconsistent with, any provision of this Agreement or the HIPAA Rules.
17. Regulatory References. A citation in this Agreement to the Code of Federal Regulations shall mean the cited section as that section may be amended from time to time.



# CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

Complete Nos. 1 - 4 and 6 if there are interested parties.  
Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

## OFFICE USE ONLY CERTIFICATION OF FILING

1 Name of business entity filing form, and the city, state and country of the business entity's place of business.

Community Action Inc of Central Texas  
San Marcos, TX United States

Certificate Number:  
2017-184408

Date Filed:  
03/28/2017

Date Acknowledged:

2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.

City of Austin-Austin Public Health Department

3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.

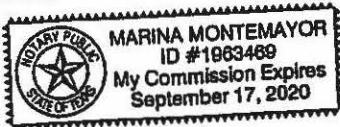
MA 9100 NG170000028  
HIV Case Management

4	Name of Interested Party	City, State, Country (place of business)	Nature of Interest (check applicable)	
			Controlling	Intermediary

5 Check only if there is NO Interested Party.



### 6 AFFIDAVIT



I swear, or affirm, under penalty of perjury, that the above disclosure is true and correct.

*Carole Belver*

Signature of authorized agent of contracting business entity

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said Carole Belver, this the 28<sup>th</sup> day of March, 20 17, to certify which, witness my hand and seal of office.

*Marina Montemayor*  
Signature of officer administering oath

Marina Montemayor  
Printed name of officer administering oath

Notary Public  
Title of officer administering oath